THE U. S. NAVY'S FITNESS REPORT SYSTEM: REVIEW, ANALYSIS, AND RECOMMENDATIONS

Thomas Nelson Lawson

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THESIS

THE U.S. NAVY'S FITNESS REPORT SYSTEM:
REVIEW, ANALYSIS, AND RECOMMENDATIONS

by

Thomas Nelson Lawson

December 1976

Thesis Advisor: R. A. McGonigal

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T 176648

UNCLASSIFIED

SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

REPORT DOCUMENTATION PAGE		READ INSTRUCTIONS BEFORE COMPLETING FORM
1. REPORT NUMBER	2. GOVT ACCESSION NO.	3. RECIPIENT'S CATALOG NUMBER
4. TITLE (and Subtitle) The U.S. Navy's Fitness Report System: Review, Analysis, and Recommendations		5. TYPE OF REPORT & PERIOD COVERED Master's Thesis; December 1976 6. PERFORMING ORG. REPORT NUMBER
7. AUTHOR(s) Thomas Nelson Lawson		8. CONTRACT OR GRANT NUMBER(s)
9. PERFORMING ORGANIZATION NAME AND ADDRESS Naval Postgraduate School Monterey, California 93940		10. PROGRAM ELEMENT, PROJECT, TASK AREA & WORK UNIT NUMBERS
11. CONTROLLING OFFICE NAME AND ADDRESS Naval Postgraduate School Monterey, California 93940		12. REPORT DATE December 1976 13. NUMBER OF PAGES 179
14. MONITORING AGENCY NAME & ADDRESS(if different from Controlling Office) Naval Postgraduate School Monterey, California 93940		15. SECURITY CLASS. (of this report) Unclassified 15a. DECLASSIFICATION/DOWNGRADING SCHEDULE

16. DISTRIBUTION STATEMENT (of this Report)

Approved for public release; distribution unlimited.

17. DISTRIBUTION STATEMENT (of the abstract entered in Block 20, if different from Report)

18. SUPPLEMENTARY NOTES

19. KEY WORDS (Continue on reverse side if necessary and identify by block number)

Fitness Reports, Promotion, Advancement, Performance Evaluation, Selection

20. ABSTRACT (Continue on reverse side if necessary and identify by block number)

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DD FORM 1 JAN 73 1473 (Page 1) EDITION OF 1 NOV 65 IS OBSOLETE S/N 0102-014-6601

UNCLASSIFIED

SECURITY CLASSIFICATION OF THIS PAGE (When Data Entered)

20. Abstract (Cont'd)

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The philosophy and importance of officer performance evaluations are reviewed, their many uses enumerated, and the present system is analyzed with problem areas identified and recommended solutions provided that could be initiated without revising the present fitness report directives or format. Finally, considerations for possible future use are suggested that are beyond the present report format or current implementing directives.

The U.S. Navy's Fitness Report System: Review, Analysis, and Recommendations

by

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Submitted in partial fulfillment of the
requirements for the degree of

MASTER OF SCIENCE IN MANAGEMENT

from the

NAVAL POSTGRADUATE SCHOOL
December 1976

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I. OVERVIEW

"The system works." So say the presidents of the promotion boards in their summary reports to the Secretary of the Navy. "The system works." So say the myriad of selection boards after choosing officers for special educational programs (both professional schools and civilian universities), screening for CO/XO for fleet, squadron, and selected shore billets, determining who of those reserve officers requesting augmentation will be selected, or any of the many other discriminating boards. "The system works." So say the detailers who monitor officer's progress, identify patterns of professional development or possible shortcomings, and do their best to insure that officers careers are enhanced by simultaneously progressing through demanding assignments and attaining necessary/required qualifications. "The system works." So say the placement officers who are tasked with filling billets with the best qualified, available officers. "The system works." So say the reporting seniors who are charged with evaluating the performance of officers assigned to him/her.

With only infrequent exceptions, all the users of the fitness report affirm its ability to provide the information

they require to do their jobs. However, not so infrequently, they report that more accurate, more specific, more detailed data could be reported that would assist them in performing their responsibilities more effectively and more efficiently.

This thesis is concerned with providing the reporting senior with additional tools to enable him or her to evaluate subordinates more accurately, more objectively, more fairly, and to assist the reporting senior to constructively counsel junior officers on their performance. This is to be accomplished working within the present system, using the present fitness report form and procedures outlined in BUPERSINST 1611.12D (Report on the Fitness of Officers). To do this, the philosophy and importance of fitness reports will be reviewed, their uses enumerated, and the present system analyzed. Problem areas will be identified, and potential solutions provided. Finally, possible future considerations are presented that extend beyond the present system, present forms, and present implementing instructions. These future actions are proffered in recognition that no personnel performance evaluation system is a panacea, and that it must be flexible and meet the changing needs of the organization.

A. INTRODUCTION: IMPORTANCE OF FITNESS REPORTS

> Reports on the Fitness of Officers are an objective appraisal of their performance, as documented by their reporting seniors, from the date of initial appointment until separation. Fitness Reports are the primary basis for selection of officers for promotion and assignment to duty. Realistic, objective evaluations of individual officers are essential to the accomplishment of each of these tasks [BUPERSINST 1611.12D].

When considering any individual command throughout the Navy, the task of reporting the fitness of officers by the Commanding Officer may not be a difficult one. Depending on the size of the unit, the reporting senior will probably be personally familiar with each officer, know their strengths and weaknesses, be able to prepare "realistic, objective evaluations" of their performance, and be capable of discussing the evaluation with the officer in a constructive, meaningful way. However, when projecting this responsibility from the single command to the entire fleet and approximately 2500 reporting seniors, each possessing difficult personalities, varied backgrounds, distinctive attitudes, heterogeneous standards, and varying mission areas, the task of comparing these reports of fitness for any of the myriad of purposes that they are used seems monumental. With the present Navy officer corps strength at about 69,000, it would be impossible, or at least extremely difficult, to apply uniform standards to all officers

across all ranks, across all specialties, across all assignments. At times the validity of the results of this process is questioned.

Fitness reports are a command responsibility by regulation, and the specific individual responsibility of the Commanding Officer. The fitness report is the product of a continuing relationship between the individual, the rater (Commanding Officer) and the ratee (subordinate officer). This relationship is interpreted in many ways. Some officers view it as an adversary one, while others see it as a necessary evil, and yet others consider it a positive program with decided results. The importance of the fitness report to the individual officer is obvious from the following quotation from the Bureau of Naval Personnel Manual:

> Reports on the fitness of an officer constitute the most important part of his record. They provide a record of the duty performed and the manner of the performance, ... and a statement of his personal characteristics. Fitness reports are the primary means of determining selection, promotion, and assignment of officers. Adequate evaluations of individual officers are essential to the accomplishment of each of these tasks. The failure of a reporting senior to appraise objectively the performance of any officer under his command is a grave failure to meet a public trust and could constitute an injustice not only to the officer reported on but to other officers as well [United States Navy, 1975, p. 34-10].

Article 1152, U. S. Navy Regulations states ".... The preparation of these (Records of Fitness) reports shall be

regarded by superiors and Commanding Officers as one of their most important and responsible duties." From this statement and others quoted herein, it is apparent that the fitness report is a crucial record for every officer in determining his career, as well as being critical to the entire Navy. However, given the importance of this single document and its impact on the individual officer and the Navy establishment, it is surprising that other than BUPERSINST 1611.12D, very little guidance is provided to reporting seniors on how to prepare performance evaluations, what to consider in his marking scheme, and how to discuss the report with the officer. The purpose of this thesis is to attempt to fill that void.

B. NATURE OF FITNESS REPORTS

During the daily events that constitute the life of a Navy command, officers consciously and unconsciously form opinions about each other. All seniors appear to judge their subordinates, making various uses of their evaluations. Juniors, too, form judgments of their seniors, their peers, their jobs, and the unit as a place to be assigned. Some judgments are only personal opinions, which will always be present when two or more individuals are co-located. Other types of evaluative judgments may relate to the quality of

the work performance and to the components of the work relationship between the reporting senior and the subordinate officer.

As previously stated, the Navy organizational system attaches great significance to the official assessments that superiors make of their subordinates. It's interesting to note that although the ability to appraise others skillfully is a critical skill that should be possessed by all reporting seniors, that quality is not currently one of the criterion for judging professional performance. This apparent inadequacy exists even though the fitness report system lies at the heart of building the strength of the naval organization through developing its manpower resources.

To generate confidence in decisions resulting from the use of the fitness report, the reporting senior's performance evaluations need to be systematic, objective, and fair. Clear policies and well-designed procedures, an understanding of the character of performance evaluations, their many uses and abuses, and a training effort directed at reporting seniors, as well as an educational effort for all officers on the entire fitness report system, are necessary for attaining these aims.

1. Reactive vs. Non-Reactive Measures

Fitness reports, by their very nature, are a reactive measure by the reporting senior in evaluating the subordinate's performance. The senior "evaluates" the junior's conduct of his duties and reports his findings. The reactive nature of the appraisal process may create as well as measure performance and attitudes. As a result, the outcome of the entire performance evaluation process (the fitness report) is subject to being an invalid measure of the performance of an officer. This is likely due to several key factors [Webb, p. 13]:

a. Awareness of Being Evaluated. The process by which officers are evaluated may affect the results of that evaluation. They are aware that their performance is being scrutinized and that they must "make good" to be promoted or assigned to the "career enhancing billet." This knowledge of being tested may distort his behavior, and what is observed by the reporting senior may not, in fact, be the real qualities of the individual. One solution to this bias is the use of archival records or observations that do not require the cooperation of the officer being observed.

b. Reactivity Due to Role Selection. When an officer is singled out for evaluation, either by his position, rank, or circumstance, the evaluator forces upon the

junior a role-defining decision -- What kind of an officer should I be in this situation? What is appropriate? What is expected? An officer who thinks that his Commanding Officer wants him to be forceful while standing a bridge watch will be so. If he thinks his senior wants him to pay strict attention to detail, the junior may do that, too.

c. Eisenberg Effect. The inclusion of an Equal Opportunity specific aspect of performance on the fitness report may, in itself, cause a change in the officer's attitude toward minorities. The evaluation process influences real changes in what is being evaluated -- behavior, which is the Eisenberg Effect.

d. Reporting Senior Effects. The senior officer is an important source of clues to the junior on what behavior is appropriate for a given situation. The junior will respond to visible clues provided by the senior. Additional potential biases are introduced by the reporting senior. A senior's role set, his expectations of an officer's performance, or his likes and dislikes, may influence a junior's performance. They include age, sex, race, warfare specialty, and commissioning source.

e. Change in the Evaluation Instrument. When an individual's reporting senior detaches or a revision in the fitness report format or procedure is promulgated, another

potential threat to validity has been introduced. The evaluator may change over time and not grade performance in a uniform manner.

2. Validity - Internal and External

The question of the validity of performance evaluations is complicated by the fact that validity can be appraised only by comparison with another measure - a criterion. Fitness report ratings are valid to the extent that they measure what they are supposed to measure. But fitness report ratings are generally used to appraise qualities for which no objective measures are easily available. (Chapter VI contains recommendations for removal from the fitness report those rating areas considered to be entirely subjective in nature.) Hence, only when some trait that can be measured in a quantified manner is rated can a simple test of validity be made. For more inclusive tests of validity, evaluations must be compared with performance history and other evidence of the overall value of the officer, independent of the reporting senior.

a. Internal Validity. Internal validity asks the question of whether or not a difference exists in any given comparison. It asks whether or not an apparent difference can be explained away as some measurement artifact [Webb, p. 10]. Internal validation involves determining the extent

of certain biases introduced by rater (reporting senior) behavior. Historically, these biases have existed and have provided a basis for explaining inflation of marks, lack of spread in the distribution of marks, and lack of independence among seemingly different aspects of officer performance.

b. External Validity. External validity deals with the problem of interpreting the difference between two measures and the problem of generalization [Webb, p. 11]. External validity involves comparing the measures of one fitness report with previous reports submitted to determine the continuity of ratings over time and between revisions of fitness report formats, the relative independence of measures, and the ability to identify high and low performers. The individual performance elements must be in a form with which seniors can discriminate in the relative qualities of the officers.

3. Reliability

A most important consideration of performance appraisals is the reliability of the ratings - which means the consistency of the evaluations. There are several methods of checking on reliability, none of which are presently utilized in the Navy. In one, raters repeat the performance evaluation process after a time so short that

few changes in ratees could have taken place. The two sets of evaluations thus provided are then compared for consistency in the pattern of ratings. In another procedure, the ratings of individual officers by several senior officers are compared. Evidence of unreliability usually reflects other deficiencies - halo effect, central tendency, high-level tendency, and leniency error (see Chapter IV). Reliability can be improved by training reporting seniors and providing them with appropriate tools and skills to carry out their responsibilities more effectively. The intent of this thesis is to provide the basis for acquisition of these needed tools and skills.

C. PARALLEL CONSIDERATIONS FOR ORGANIZATIONS

Many decisions relating to the preparation and use of the fitness report are unclear and ambiguous. Trade-offs are required; give-and-take is necessary. One might think that a pertinent directive of the Chief of Naval Personnel would be explicitly followed. However, there exists a factor or force so powerful that it could successfully defy the exercise of ultimate fitness report authority. As a result, the policy making body in Washington has had to consider many factors in reaching a decision dealing with the system by which a naval officer stays or leaves the organization, and succeeds or fails at promotion.

The expense of organizational changes is one of those difficult considerations. A revised format may be required at a point in time, but the impact on the fleet and cost in terms of time spent learning the new procedure, time and money to correct the inevitable mistakes in submitted fitness reports, money for printing of new forms, and finally the frustration felt by all officers in another change in the system. Unless the advantage to the individual officer is made evident to him, he will resist a change and find ways of "beating the system."

The effect of individual officer competition on an organization and its influence on marking trends must be contemplated. The fitness report cannot be viewed as an entity in itself. The systems that it supports must also be considered. The promotion, selection, and assignment processes are all based on a relative ranking of officers, with the highest ranking being promoted, selected, and assigned to the "good billets." Competition is evident throughout the system and has resulted in inflated marking trends. The "galloping average" (continuing higher average fitness report marks) is apparent. With the exception of points in time where a new format was introduced or higher authority attempted to crack down on inflated marks, there has been a steady rise in inflation to the point now where

over 90% of the officers are rated in the top 10% of the officer corps.

Goal congruence is another issue that must be pondered. The goals of an individual officer, his reporting senior, and his command may be supportive in nature and actively support the Navy's mission. However, they may just as easily not support each other and prove to be dysfunctional in nature and result in suboptimization of goals.

Finally, the process of altering the expectations of the organization and the individual must be considered. Perhaps the present "up-or-out" policy should be challenged. Presently, many, perhaps most officers feel that they must be rated in the top 10% to get promoted or selected. Apparently, the predominance of reporting seniors feel that they have to rate officers in the top 10% to maintain their cooperation to insure that the job gets done. There seems to exist a lack of trust and confidence in the officer community in the fitness report system that has resulted in current directives being circumvented. A change in the individual and command expectations concerning fitness report marking trends may help in restoring confidence in the fitness report system through fairness, openness, and uniformity in preparation of evaluations.

II. USES OF FITNESS REPORTS

The fitness report is one of the primary tools for the management of the Navy's officer corps. It is designed to adequately support the promotion, selection, assignment, retention and career development objectives as established by the Chief of Naval Personnel. It is this author's opinion that regardless of who is utilizing it or which of the many applications that it may be used for, the fitness report and the information that it provides, remains, in the view of many officers, as the most significant factor in an officer's career progression.

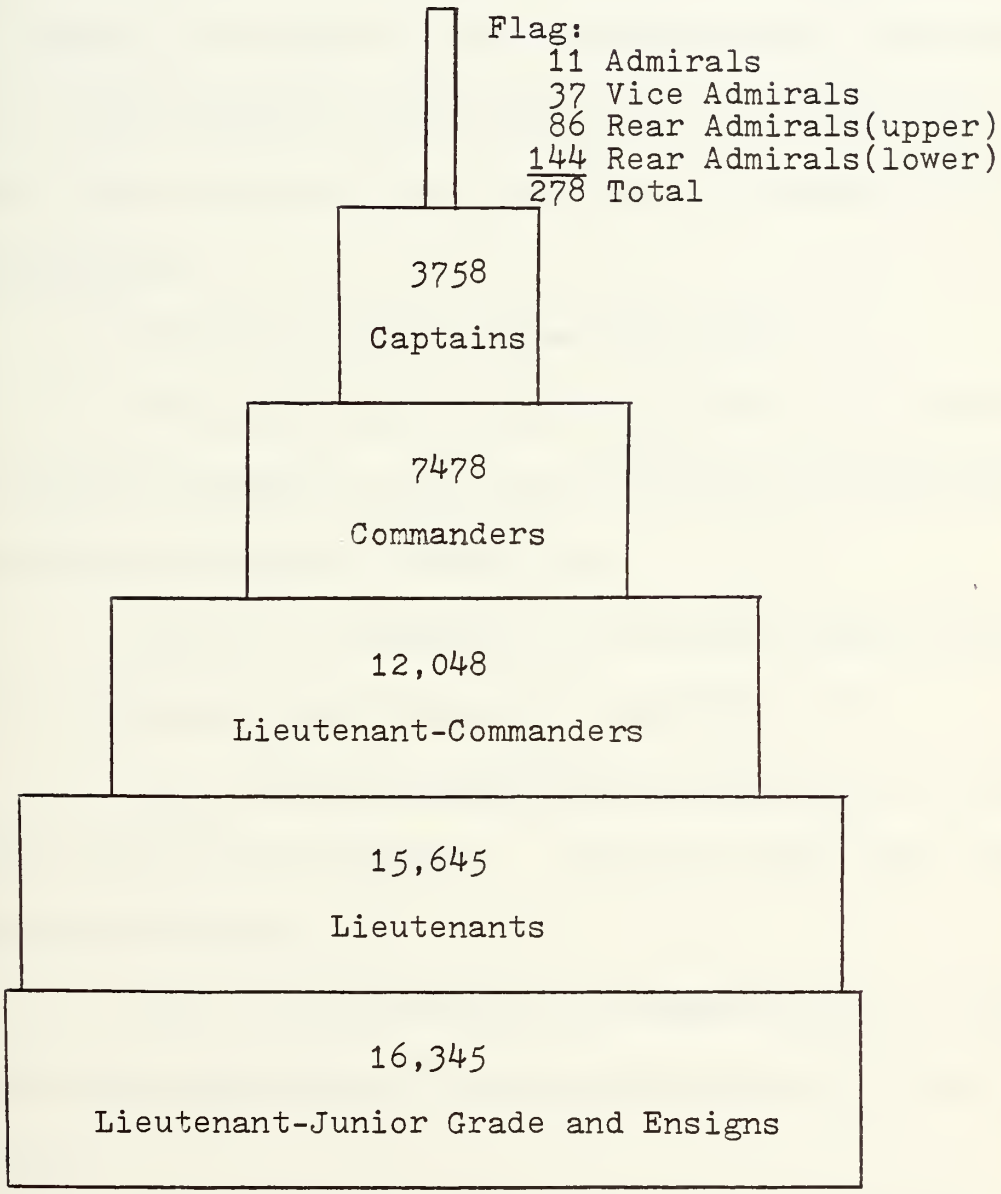
A. PROMOTION

Most officers associate the fitness report with promotions. Whether an officer is "deep selected," promoted with his contemporaries, or "fails to select," is determined primarily by the performance evaluations in an individual's record. An officer's complete record is reviewed by a promotion board. His performance in all duty assignments is closely observed, the billet pattern is evaluated, his growth potential is measured, and finally his skills and capabilities are compared with the future requirements of the Navy.

There are three major components to the officer promotion cycle: eligibility, selection, and promotion. Each element is governed by numerous laws, regulations, and administrative procedures. The structure of the officer corps of the Navy is similar to that of a pyramid, with the broad base representing the junior officers and the peak depicting the Chief of Naval Operations. Figure II-1 represents the make-up of the officer corps, not including Warrant Officers and Limited Duty Officers, for pay grades O-1 through O-9 as of 31 July 1976. In order to allow a normal flow of promotion, not every officer who begins at the base of the pyramid can realistically expect to reach the peak. Theoretically, however, each officer does have the same promotion opportunity as his contemporaries. Promotion opportunity is the result and interaction of three different but related factors [United States Navy, 1976, p. 3]: 1) Prescribed Number, which is the number of officers of a particular category specified for a grade or combination of grades, 2) Promotion Flow Point, which is the number of years of commissioned service at which most officers would be promoted, and 3) Promotion Percentage, which represents the number of officers authorized by the Secretary of the Navy to be promoted divided by the number of officers in

Figure II-1

Active Duty Officer Corps
31 July 1976



Total Officer Corps- 55,552

the promotion zone. These three factors interact in a dynamic manner and a change in one will result in a change in the other factors.

1. Title 10, United States Code

Title 10, United States Code is the federal statute that governs all aspects of the Armed Services. Chapter 543 of that enactment deals specifically with Navy and Marine Corps selection boards convened to consider officers for promotion.

a. Promotion Board Responsibilities

The following are specific duties and guidelines for selection boards as set forth in Title I of the Officer Personnel Act of 1947, Section 109:

(1) "...recommend for promotion those officers whom it considers best fitted for promotion...."

(2) "The recommendation of the board in respect to the promotion of officers ... shall be based upon their comparative fitness...."

(3) "All reports or recommendations ... shall require the concurrence of at least two-thirds of the acting members."

(4) "The selection board shall also report the names of any officers among those eligible for consideration and of less than twenty years' service whose reports and

records in its opinion indicate their unsatisfactory performance of duty in their present grades and in its opinion indicate that they would not satisfactorily perform the duties of a higher grade."

It should be noted that in exercising this responsibility, selection boards very infrequently make such a determination.

b. Promotion Board Composition

Section 5701, Chapter 543, Title 10, United States Code, establishes the requirement to convene selection boards annually to recommend male line officers for promotion. Section 5702 applies to staff corps officers, while 5704 is relevant to women line officers. When officers of the Naval Reserve are eligible for consideration by a board, an appropriate number of reserve officers must sit on that board. Likewise, if women staff corps officers are being considered by a board, a suitable representation of females must be on the board.

The following are the structures for various promotion boards for line officers. Where the staff corps or women's boards differ, it will be so indicated.

(1) Captains for promotion to Rear Admiral. For line officers, the board consists of not less than nine officers serving in the grade of Rear Admiral or above. Each staff corps will have its own board comprised of not less

than three nor more than nine officers serving in the grade of Rear Admiral or above.

(a) For promotion to Lieutenant through Captain. All staff corps boards will consist of not less than six or more than nine officers serving in the grade of Commander or above.

(b) For women line officers being considered for promotion to Lieutenant through Captain, the board will be comprised of not less than six or more than nine officers, with the Secretary of the Navy determining the rank structure.

(2) Commanders for promotion to Captain. The board will include not less than nine officers serving in the grade Rear Admiral or above.

(3) Lieutenant-Commanders for promotion to Commander. The board will contain three officers serving in the grade of Rear Admiral and six officers serving in the grade of Captain.

(4) Lieutenants for promotion to Lieutenant-Commander and Lieutenants-Junior Grade for promotion to Lieutenant. The board will be made up of nine officers serving in the grade of Captain or above.

2. Promotion Board Procedures

> Each selection board has complete freedom in the establishment of rules and procedures required to discharge the duties set forth in its precept [Chief of Naval Personnel letter of 16 April 1970].

Officers assigned to selection boards are tasked with a most important and demanding assignment. In their hands rests to a large extent the future of the naval establishment. The board members are experienced, mature officers with a variety of backgrounds. All members must be "due course" officers, having been promoted either with or ahead of their contemporaries. Although no legal requirement exists, the Bureau of Naval Personnel attempts to insure minority representation on all boards. However, due to limited funds, fleet requirements, and scarcity of senior, minority officers, this goal is not often achieved. In the conduct of their responsibilities, they must exercise their experience, judgment, and foresight in determining who will be the future leaders of the Navy.

Following a brief by the Chief of Naval Personnel, or his designated representative, covering the responsibilities of the board, each member is provided written guidance concerning his responsibilities as set forth in the law and in the Secretary of the Navy's precept letter. The precept letter provides the only restrictions as to

their method of operation. The board is then convened and all members "... swear or affirm, that he (she) will, without prejudice or partiality, and having in view both the special fitness of officers and the efficiency of the naval service, perform the duties imposed upon him (her)...." As directed by Title I of the Officer Personnel Act of 1947, Section 106.

Within the framework established by Title I of the Officer Personnel Act of 1947, Section 109, each board has complete freedom in establishing its own ground rules and procedures in accomplishing the tasks directed by the precept letter and law. As all selection boards are sworn to secrecy as to how they completed their task, it would be impossible to state precisely how each board operates. Since boards are comprised of different individuals, with varied backgrounds, personalities, and experience, boards are likely to adopt different procedures. This human element possessed by each member is of critical importance and paramount to the success of the system. Were it not so, computer programs could be written to mechanically manipulate numbers and determine who should be promoted. This human element also attempts to insure that boards perform their responsibilities with complete impartiality, yet in a thorough and

logical manner, maintaining the future requirements of the Navy as foremost in their minds.

Although the method of operation of each board is secret, one fact that is consistent across all boards is the reliance on the fitness report to provide them with the information to make their selections. The addage of the computer that "garbage-in leads to garbage-out" is also true in the promotion system. Fitness reports that are carefully prepared and provide a "realistic, objective evaluation" of an officer's past performance and future potential will ensure that promotion boards have the data they need. Those performance evaluations that do not fill those critical requirements are not providing the boards with adequate information, resulting in possibly questionable results.

a. Information Provided the Board

Members of a promotion board have the authority to request any information that they feel is necessary to do their job, and the entire staff of the Chief of Naval Personnel is available for such assistance.

Title I, Section 108, of the Officer Personnel Act of 1947 specifies that certain information must be provided to the boards. This data required by law is presented

by the Secretary of the Navy in a letter of precept. This information includes:

(1) The number of officers the board may recommend to the next higher grade.

(2) The names of all officers eligible for consideration for promotion.

The Secretary of the Navy is also tasked with furnishing the records of all officers whose names are furnished to the board.

Any officer who is being considered for promotion by a board has the right to forward a letter to the board via official channels within ten days of the convening date inviting the board's attention to any matter of record concerning himself which he thinks important in the board's deliberation. However, the letter shall not "contain any reflection upon the character, conduct, or motives of or criticism of any officer."

The Secretary of the Navy also provides all Captain and Flag boards with additional information that he desires that they consider in their deliberations. This is accomplished via his "Letter(s) of Guidance." Prior to the Fiscal Year 77 promotion boards, boards convened for every rank received such a letter. However, the redundancy of such letters particularly for junior officers, and

resulting administrative work-load resulted in elimination of this practice for Lieutenant through Commander boards. Only Captain and Flag boards presently receive such letters.

The genesis of these "Letters of Guidance" is noteworthy. The letter is initiated in the Bureau of Naval Personnel by the various warfare specialties (surface, sub-surface, aviation, etc.) providing inputs as to the skills, backgrounds, or other considerations they feel important in selecting officers for promotion to Captain or Rear Admiral. This data is then compiled into a "proposed letter" and routed to the many bureaucratic levels at the Bureau. The final version is forwarded to the Secretary of the Navy, who, with very few exceptions, has the letter released over his signature. A different letter is forwarded to the President of every Captain and above board that is convened, including line, staff, and women boards.

A review of the "Letters of Guidance" for all boards from Fiscal Year 73 to Fiscal Year 77 resulted in the notes contained in the Appendix.

b. Reviewing

The manner in which records are reviewed is a unique board decision and not consistent from board to board. In whatever manner is decided, the board must give impartial and careful consideration to every record. The

weighting factor given to any item of record or the importance placed on either the type of information or the time of its occurrence are matters to be decided by the board and is their prerogative alone. Characteristically, boards decide that each record will be reviewed by at least two members to insure thoroughness.

The order in which records are reviewed is also up to the board. Fatigue seems to play a debilitating role, and no doubt the amount of attention given every record is not the same. However as the deliberations are secret, only the board members know the impact of this factor on the final outcome. The wisdom of each board and experience of its President will hopefully recognize the fatigue factor and attempt to compensate for it prior to its becoming a significant condition.

Typically, once the board has established its standards and criteria, records are closely examined to determine the officer's fitness for promotion and to specify a grade or score to be used as a basis for relative comparison among the eligible officers. In coming to its decision, and in all fairness to the officers being considered, the board should consider only those factors that are in the record of the officer concerned. However, a board member who knows an officer being considered and possesses an

opinion of that officer's performance may add to or clarify information contained in the record.

Fitness report performance marks are a key consideration of the board. They represent the most tangible data available to the board to use in determining an officer's relative fitness. However, fitness report marks in themselves will not ensure that an officer gets promoted nor prevent him from getting promoted. This is particularly true now that over 90% of the Navy's officers are rated in the top 10%. Additional considerations and factors such as assigned duties, employment of the command, relative standing with contemporaries in the reporting command, and the supportive comments in the narrative section are weighed.

Historically, selection boards have looked at the entire record of an officer and for trends in performance. They might ask, "Has the officer reached a plateau or is he still growing in potential?" Recent fitness reports usually receive greater weight, as to evaluations from key positions (i.e., CO, XO, department head). As the board recognizes that different reporting seniors employ different marking practices, they will usually apply greater weight if two successive reports are signed by the same officer.

It is assumed that all members of selection boards are experienced, competent officers, familiar with

the fitness report system and having the best interest of the Navy at heart. The great majority have written fitness reports and have been involved with the system for many years. They appear to be aware of the system's shortcomings and of the imperfections in the performance evaluation method. However, these selected individuals provide the "human factor" that will interpret the records in relation to the real world of experience and not just mathematically.

c. Officer Summary Record

To take advantage of the present capabilities of the computer and for the convenience of the selection board, each officer's record being considered is accompanied by an Officer Summary Record (see Figure II-2). Page one of this figure provides biographical data and page two furnishes a summary of performance marks during the officer's career.

These "brief sheets" are an administrative tool for the boards and can be utilized as board members see fit. However, the presence of these sheets does not alleviate the board's responsibility to examine the entire official record of each eligible officer.

Figure II-2

FOR OFFICIAL USE ONLY

SEQUENCE NO:

OFFICER SUMMARY RECORD

NAME						
SSAN	FILE NO.	DESIGNATOR	DATE OF BIRTH	AGE	PROF. SERV. DATE	FOR BOARD USE

	CAPT.	CDR	LCDR	LT	LTJG	ENS	WARRANT
PROM HISTORY: DATE OF RANK							

PRESENT DUTY STATION	PRESENT BILLET

EDUCATION

COLLEGE	DATE/LEVEL	MAJOR	LANG. PROF.	SUB-SPEC.

SERVICE SCHOOLS ATTENDED

COURSE:
DATE/WEEKS:

COURSE:
DATE/WEEKS:

COURSE:
DATE/WEEKS:

ACTIVE DUTY BASE DATE	PREVIOUS MILITARY SERVICE:	YEAR	MONTHS	HIGHEST RATE/GRADE

AVIATION EXPERIENCE

	HOURS	CARRIER LANDINGS	
TOTAL		TOTAL	
JET		NIGHT	
HELO		INST. RATING	
A/C COR		SERVICE GROUP	

PERSONAL DECORATIONS

HIGHEST AWARD:

SPECIAL QUALIFICATIONS

1.
2.
3.
4.
5.
6.
7.
8.
9.
10.
11.
12.

REMARKS

DATE PROCESSED:

FOR OFFICIAL USE ONLY

Figure II-2 (Cont'd)

FOR OFFICIAL USE ONLY

OFFICER SUMMARY RECORD

PAGE 2 ( )

NAME (Last, First, Middle) | FILE NUMBER

16 GRADE	18 STATION	17 DUTY	18 DATE OF REPORT	19 NO. MOS.	20 REPORTING SENIOR & GRADE	21 PRESENT ASSIGNMENT 0	1	2	3	4	5	6	10	22 DESIRABILITY PO 0	PM 2	P 4	S 6	U 10	23 COMPARISON O 10 0	E 30 2	AA 70 4	A 90 6	BA 100 10	24 QUALITIES 0	1	2	3	4	5	6	10	25 REMARKS

NAVPERS 1070/11 (12-67) (Formerly NAVPERS 1269)

d. Voting

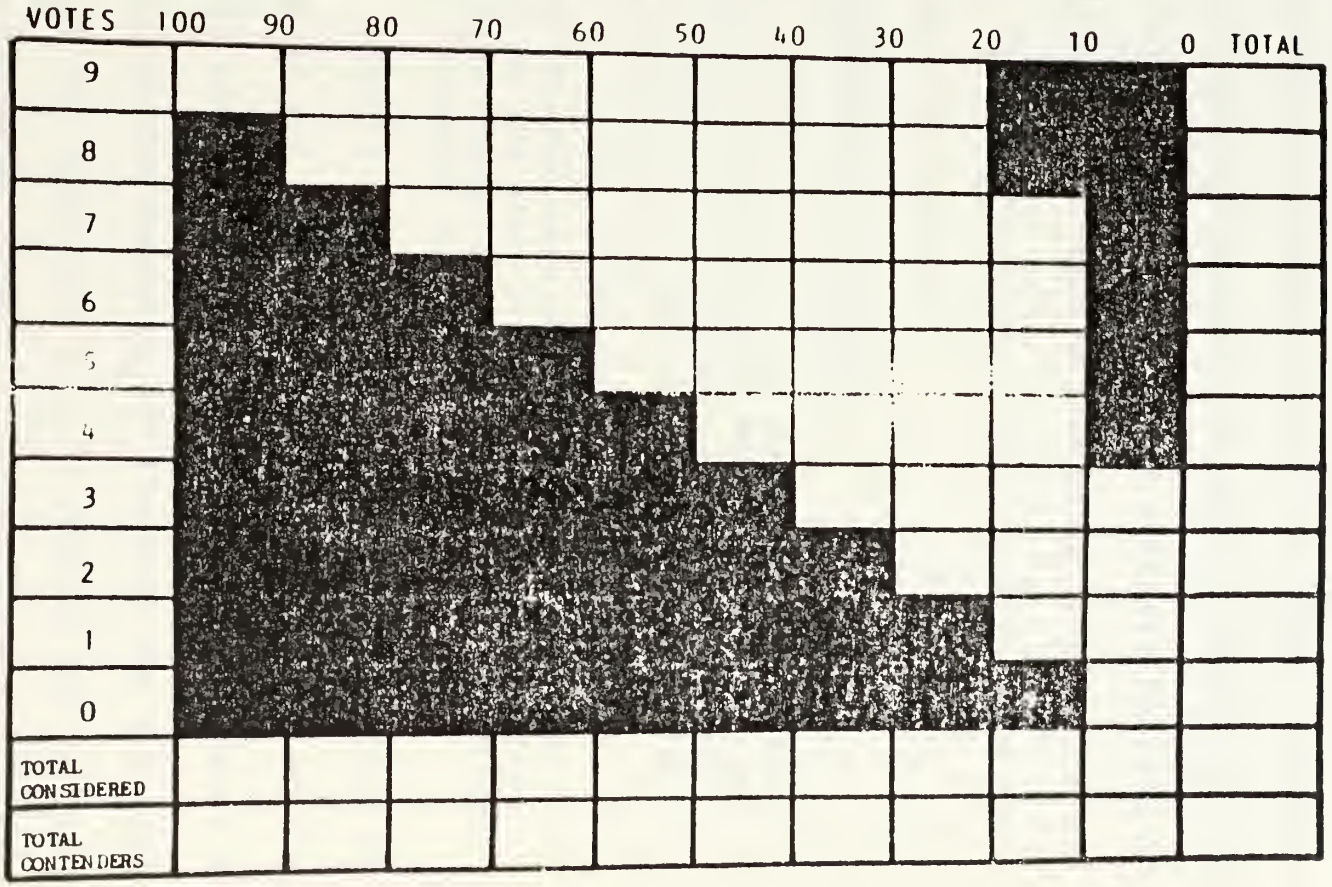
The typical board, after records are reviewed, usually meets in the "tank," a small theater type room. The room is equipped with projection screens in the front, decorated in basic black, and contains cushioned chairs with voting boxes. The board then is likely to collectively consider each record. As this methodology is up to each board to decide, voting procedures from board to board may differ. Most boards will project the brief sheets on the screen, and one of the board members who reviewed that record will brief it, providing the entire board with the officer's career highlights, strengths, and weaknesses. The possible impact or differential that the briefer's skill or personality has on the outcome of the voting is unknown. However, in marginal cases, it is probable that it has significant influence on the group's deliberations.

In the usual next step, votes are cast utilizing the Vote Tallying System. Each board member votes secretly recommending or not recommending promotion, and if promotion is recommended, a degree of confidence is also indicated (either 25, 50, 75, or 100, with 100 high). The use of a "weighted" vote provides members with a confidence factor reflecting the many and varied backgrounds of the board. Once all records have been voted on, a "scattergram" (Fig. II-3)

Figure II-3

SCATTERGRAM

VOTE TO _____ DESIGNATOR _____ AS OF _____



may be utilized to analyze the broad spread of comparative values of the officers under consideration. Using this procedure the board can then readily identify those truly outstanding officers whose selection is highly likely and those officers whose selection is equally unlikely. The board can then concentrate on those officers falling in the middle group who will require additional evaluation and comparison. Voting continues until the "best fitted" officers have been selected.

3. Promotion Board Reports

> The report of the board shall be in writing, signed by all of the acting members thereof, and shall certify that the board has carefully considered the case of every officer whose name was furnished to the board ... and that, in the opinion of at least two-thirds of the acting members, the officers therein recommended are selected as the best fitted to assume the duties of the next higher grade... [Title I, Section 110, Officer Personnel Act of 1947].

The board's report is submitted to the Chief of Naval Personnel for transmittal to the Secretary of the Navy via the Judge Advocate General and the Chief of Naval Operations. Although the Secretary of the Navy has the authority to not accept the selection board's results and reconvene the board for further deliberations, this power has not been exercised in the last ten years.

4. Strengths and Weaknesses

The present promotion system is a dynamic, ever-changing process that reacts to varying Navy requirements in a responsive manner. However, it is probable that no system in a large, bureaucratic organization is ever perfect. So, too, the promotion system has its share of strengths and weaknesses.

a. Strengths

(1) The greatest attribute of the system is that it has worked effectively. No doubt individual officers have been dealt an injustice by not being promoted when they probably should have; and just as likely some officers were probably promoted when they should not have been, but overall it has been seen historically as a fair and accurate method of selecting officers for promotion. Reports from boards have stated that they can determine which officers should be promoted, regardless of the present inflation of fitness report marks. The officer's entire record to date is evaluated, with many factors considered. One consideration looked at is the narrative that provides supportive statements for the marks given, as well as a thorough description of the officer's performance. However, the Air Force Human Resources Laboratory report of July 1970 challenges the belief that word descriptors can be used as

performance discriminators. This finding is increasingly important in light of the fact that performance marks are not now differentiating between the capabilities of officers.

(2) "While not perfect, it is '...free of such things as nepotism, marrying the boss's daughter, owning stock in the country and having the top jobs nabbed by superior talents hired away from another country' [Naro, 1976]."

(3) The human aspect of the board is another noteworthy strength. The individual members provide a "check and balance" process with the other members. They will consider, discuss, weigh, and although not always objectively, will make a determination as to an officer's fitness for promotion.

b. Weaknesses

(1) The board can only consider the information provided. They have no control or influence on its accuracy or thoroughness. If they are provided with erroneous or incomplete data, the results of their deliberations may reflect that fact. The fitness report is the heart of this issue, and a method of providing "realistic, objective evaluations" that may be compared with other fleet reports is required.

(2) The board's fatigue factor and impact of the briefer are unknown quantities and should be the subject of additional study.

(3) In the sense that an officer not selected for promotion is not told officially why the board did not select him, where his deficiencies lie, or what in his career pattern caused them to vote "no," the system is unfair and fails to reach its potential. Although the board's deliberations are private and can never be disclosed, it seems inefficient to not tell an officer where a shortcoming exists in his record. If a change or improvement in the performance of an officer is desired, that officer needs feedback to let him know where he's deficient. Otherwise the behavioral alteration is left to chance. From a management point of view, the feedback process will indicate to the individual officer that the organization is just and fair. The officer will then more likely invest more of himself in the organization's goals, in addition to more efficient learning taking place. Presently, the Navy's Enlisted Promotion System appears to do this. Some day, no doubt, the promotion system will be legally challenged in a court case, and until then, we will have to live with the system as is.

(4) With the exception of officers who have sat on boards or had a tour at the Bureau of Naval Personnel, the officer promotion system is not sufficiently understood by most officers [Naro, 1976]. This includes reporting seniors, and the potential recursant impact that this has on the system is obvious.

B. SELECTION

The Navy has a plethora of screening, examining, and selection boards that utilize the contents of the fitness report to make a determination of findings. In most cases, these boards utilize similar criteria to promotion boards and the result of one board may have a definite impact on another. For instance, a LCDR who fails to screen for XO will likely have severe problems making CDR.

To give an idea of the many selection boards convened which rely to a large extent on the fitness report, a list of most, but not all, is provided, with differentiation as to whether the boards are statutorily or administratively required.

1. <u>Statutorily Required</u>

    a. Flag Continuation USNR

    b. Flag Continuation USN

    c. Captain Continuation

    d. Reserve Continuation

2. <u>Administratively Required</u>

a. Command Screening

(1) Aviation Squadron Command

(2) Medical Captain Command Screen

(3) Dental Corps Command Selection

(4) Naval Reserve Aviation Command Screening

(5) Naval Reserve Force Ship's Reserve Command Screening

(6) Surface/Submarine Captain Command

(7) Aviation Captain Command

(8) DC Command Selection

(9) Surface Commander Command Screen

(10) Submarine Command and XO Screening

b. Education

(1) NESEP Selection

(2) Postgraduate School Selection

(3) Olmsted Scholar Selection Committee

(4) Professional Development Program and College Degree Program

(5) Doctoral Studies

(6) Services Colleges

(7) Law School

(8) Medical School

(9) SWOs Command Department Head Selection Board

c. Warrant Officer Boards

(1) In-Grade Warrant (Temporary) USNR

(2) In-Grade Warrant USN

(3) In-Grade Warrant (Permanent) USNR

(4) To Permanent Warrant

d. Subspecialty Boards

e. Miscellaneous

(1) TAR Selection

(2) Augmentation/Designator Change

(3) CNO Fellowship Program

(4) Public Affairs

(5) Restricted Line/Staff Major Project Manager

(6) Flight Status

(7) Dental Corps Continuation Pay

(8) Test Pilot

(9) Quality Control Review

(10) In-Service Procurement USN

(11) In-Service Procurement USNR

(12) Naval Examining Board

C. ASSIGNMENT

Officers are assigned to billets as the result of an interaction of two officers at the Bureau of Naval Personnel - the officer's detailer and the placement officer. Both of

these officers have a great deal of information available to them to consider in making their decisions, of which the fitness report plays a vital role.

1. As Viewed by the Detailer

The detailer is the "seller" in the interaction with the placement officer in assigning officers. It is his job to ensure that officers, within their technical skills and professional experience, are assigned to "career enhancing" billets to allow for career development. He will make suggestions as to recommended career patterns and will counsel officers whose reported performance is below that of his contemporaries. If an officer did not do well in an operational tour, the detailer will try to get him into another operational billet as quickly as possible to allow him the opportunity to improve his record.

The detailer uses the fitness report to a large extent in his job. He has a "satellite file" which is a duplication of the official record that is made available to promotion and selection boards. In addition to the performance marks, the detailer will pay particular attention to the Desirability Section (blocks 57-61 of NAVPERS 1611/1), the Recommendation for Promotion Section (blocks 62-66), and finally the Personal Traits Section (blocks 67-72). With regards to the Personal Traits Section, BUPERSINST 1611.12D

recognizes that the marks assigned in this area (Judgment, Imagination, Analytical Ability, Personal Behavior, Forcefulness, and Military Bearing) are of a subjective nature, telling more about the officer's personality and what he's like vice what he did. As a result of the subjective nature of marking, this section is "envisioned as primarily 'detailing' tools, and (has) been separated from the objective and overall evaluation sections of the report form." However on the Officer Summary Record (Brief Sheet, see Figure II-2) that is provided to promotion boards, no distinction or differential is provided. The marks attached to this section are displayed in the same manner as all other marks. Just what weight or consideration is given to those marks by boards is unknown as their deliberations are private.

The detailer has additional information available to him. The Officer Preference and Personal Information Card (NAVPERS 1301/1, Figure II-4) provides biographical data as well as special skills and training, including the Foreign Language Aptitude score, that the officer possesses. This is also the medium used to advise the detailer for preferences of the next and future duty assignments.

The Officer Data Card (NAVPERS 1301/51, Figure II-5) is a computer printed form provided annually to the officer

Figure II-4

OFFICER PREFERENCE AND PERSONAL INFORMATION CARD
NAVPERS 1301/1 (Rev. 6-73) S/N 0106-LF-063-0012

Submit 1 copy annually on 1 Dec. and when significant changes occur. See BUPERSMAN ART 1820100. Can be submitted typed or legibly printed. Not to be submitted via chain of command.

REPORT BUPERS 1301-16

1. CURRENT DUTY STATION	2. DUSTA PHONE NO.	3. CURRENT RESIDENCE	4. RESIDENCE PHONE NO *(Area Code)*	5. MARITAL STATUS
		(Check ONE) ☐ OWN ☐ RENT ☐ GOV. QTRS		☐ MARRIED ☐ SINGLE ☐ DIVORCED ☐ SEPARATED ☐ CHANGE ANTICIPATED *(Explain in Remarks)*

6. DEPENDENT INFORMATION

RESIDENCE OF DEPENDENTS	DEPENDENTS' NAME	RELATIONSHIP	DATE/PLACE OF BIRTH		CITIZENSHIP	SPECIAL CONSIDERATION

7. DUTIES DURING PRECEDING 12 MONTHS, INCLUDING SIGNIFICANT TD ASSIGNMENTS:

FROM *(Mo., Yr.)*	TO *(Mo., Yr.)*	ACTIVITY	PERMANENT HOME PORT	DEPLOYMENTS			DUTIES
				AREA	FROM *(Date)*	TO *(Date)*	

8.

FOREIGN LANGUAGE APTITUDE	SOURCE OF APTITUDE				RATE *(Good, Fair, Poor)*			
	HOME	SCH	DLI	RESI-DENCE	READ	WRITE	SPEAK	INTER-PRET
1.								
2.								

9. ADVANCED TRAINING AND SERVICE SCHOOLS ATTENDED DURING PRECEDING 12 MOS. OF 3 WEEKS OR LONGER DURATION

NAME OF SCHOOL OR COURSE	LENGTH	YR. COMP.

10. FLYING EXPERIENCE LAST 5 YEARS

ACFT MODELS FLOWN	HRS. IN MODEL	CV LANDINGS	PPC/PPI PC QUALS	YR. MODEL LAST FLOWN

11. TOTAL PILOT HOURS	12. TOTAL JET PILOT HOURS	13. TOTAL CV LANDINGS DAY	NIGHT	14. SERVICE GROUP

15. INSTRUMENT RATING

16. AVIATION COMBAT EXPERIENCE

☐ WW II ☐ KOREA ☐ VIETNAM

Figure II-4 (Cont'd)

17. NAME *(Last, First, Middle)*	18. RANK	19. SSN	20. DESIG.	21. YEAR GROUP	22. USNR OFFICERS REASSIGNMENT DESIRED AT REOS *(Comment below)* ☐ YES ☐ NO

23. NEXT DUTY PREFERENCES	TYPE DUTY	HOME PORT/LOCATION	SHIP/SQUADRON/STAFF TYPE	TYPE BILLET
	SEA ☐	1.		
		2.		
		3.		
	CONUS SHORE ☐	1.		
		2.		
		3.		
	OVER-SEAS ☐	1.		
		2.		
		3.		
	OTHER ☐	1.		
		2.		
		3.		

24. ORDERING OF PRIORITIES	25. POST GRADUATE PREFERENCE
☐ TYPE DUTY	*(Same as 25a)* 1.
☐ HOME PORT	2.
☐ SHIP/SQDN/STAFF	3.
☐ TYPE BILLET	☐ BS/BA DESIRED
☐ OTHER	☐ PG SCHOOL NOT DESIRED

26. REMARKS/ADDITIONAL INFORMATION *(If additional space is required, attach 8 x 5 card)*

SIGNATURE DATE

27. SPACE RESERVED FOR DETAILERS USE

25a. POSTGRADUATE PREFERENCES

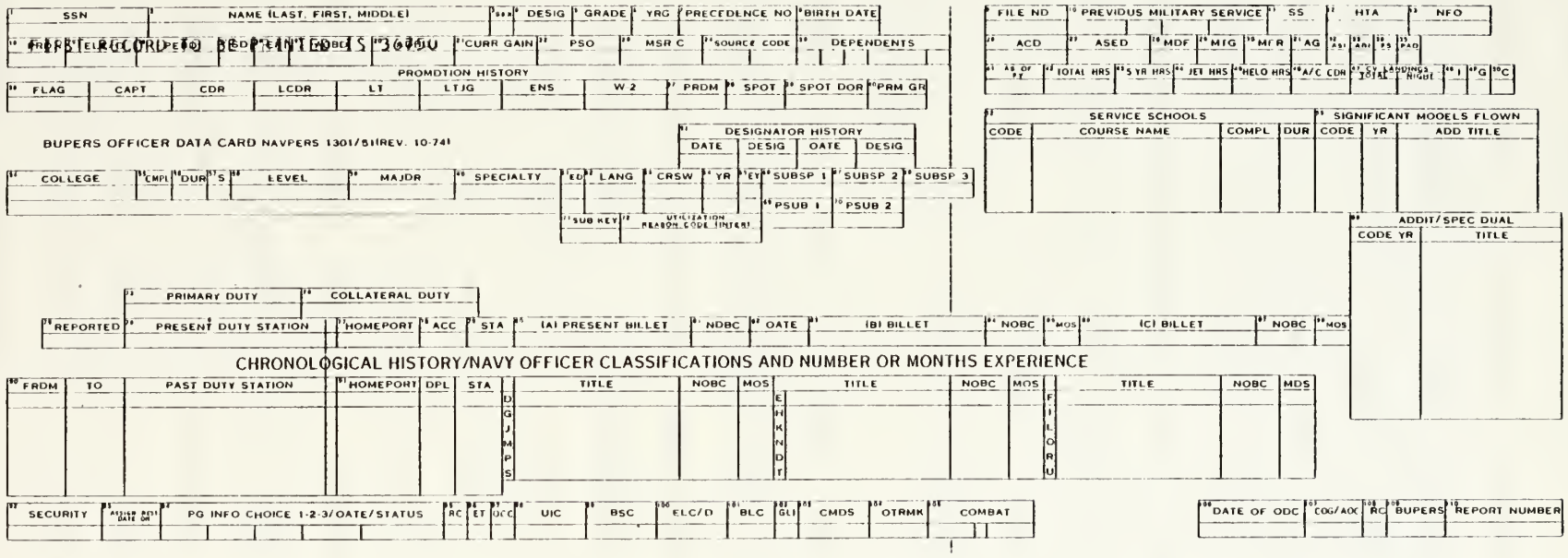
SSN	DESIGNATOR	GRADE	NAME *(Last, first, middle)*	DATE SUBMITTED *(Mo. and Yr.)*

ENTER 3 DIGIT CURRICULUM NUMBER FROM CURRENT BUPERS NOTICE 1520 OR CHECK APPROPRIATE BOX.

1ST CHOICE_____ 2ND CHOICE_____ 3RD CHOICE_____ ☐ PG TRAINING NOT DESIRED ☐ BS/BA DESIRED

NAVPERS 1301/1 (Rev. 6-73) (Back)

Figure II-5


SSN
NAME (LAST, FIRST, MIDDLE)
DESIG
GRADE
YRG
PRECEDENCE NO
BIRTH DATE
FILE ND
PREVIOUS MILITARY SERVICE
SS
HTA
NFO
CURR GAIN
PSO
MSR C
SOURCE CODE
DEPENDENTS
ACD
ASED
MDF
MTG
MFR
AG
PROMOTION HISTORY
FLAG
CAPT
CDR
LCDR
LT
LTJG
ENS
W 2
PRDM
SPOT
SPOT DOR
PRM GR
TOTAL HRS
S YR HRS
JET HRS
HELO HRS
A/C CDR
BUPERS OFFICER DATA CARD NAVPERS 1301/5(REV. 10-74)
DESIGNATOR HISTORY
DATE
DESIG
DATE
DESIG
COLLEGE
CMPL
DUR
LEVEL
MAJOR
SPECIALTY
LANG
CRSW
YR
SUBSP 1
SUBSP 2
SUBSP 3
PSUB 1
PSUB 2
SUB KEY
SERVICE SCHOOLS
CODE
COURSE NAME
COMPL
DUR
SIGNIFICANT MODELS FLOWN
CODE
YR
ADD TITLE
ADDIT/SPEC DUAL
CODE YR
TITLE
PRIMARY DUTY
COLLATERAL DUTY
REPORTED
PRESENT DUTY STATION
HOMEPORT
ACC
STA
(A) PRESENT BILLET
NOBC
DATE
(B) BILLET
NOBC
MOS
(C) BILLET
NOBC
MOS
CHRONOLOGICAL HISTORY/NAVY OFFICER CLASSIFICATIONS AND NUMBER OR MONTHS EXPERIENCE
FROM
TO
PAST DUTY STATION
HOMEPORT
DPL
STA
TITLE
NOBC
MOS
TITLE
NOBC
MOS
TITLE
NOBC
MOS
SECURITY
PG INFO CHOICE 1-2-3/DATE/STATUS
RC
ET
UIC
BSC
ELC/D
BLC
CMDS
OTRMK
COMBAT
DATE OF ODC
COG/AOC
RC
BUPERS
REPORT NUMBER

for corrections and returned to the Bureau. This report is primarily a detailing tool, providing information on the officer's current assignment, but also furnishing career assignment and promotion data and special military qualifications, including foreign language skills, possessed. Inputs to this form are mostly via the Officer Diary.

The Dependency Application/Record of Emergency Data (NAVPERS 1070/602, Figure II-6) also supplies the detailer with required information. In addition to marriage, dependency, and family data, other personal information is provided that the detailer may use.

The detailer takes the information provided by these inputs and coordinates it to efficiently meet the needs of the Navy. He is the hub, the primary agent that interfaces the desires and capabilities of the individual officer with the overall, overriding requirements of the naval service.

Presently, other than being included in the narrative of the evaluation, there is no medium for reporting and recording for future use unique skills or experiences that an officer possesses or has undergone. Such things as disaster control, relief assistance, refugee relocation, or any other crisis situations that he has experienced should be coded and be able to be retrieved quickly by a computer should the Navy have a requirement for that skill or expertise.

Figure II-6

DEPENDENCY APPLICATION/RECORD OF EMERGENCY DATA

1. UNIT I.D.	2. SHIP OR STATION	3.
5. NAME OF SPOUSE	6. DATE OF BIRTH OF SPOUSE	7. RELATIONSHIP
8. PLACE OF MARRIAGE (CITY & STATE OR COUNTRY)	9. DATE MARRIED	10. CITIZENSHIP OF SPOUSE
11. ADDRESS OF SPOUSE		12. DEP
13. NAME OF CHILD OR DEPENDENT	14. DATE OF BIRTH	15. RELATIONSHIP
16. ADDRESS (INCLUDE NAME OF CUSTODIAN IF OTHER THAN CLAIMANT)		17. DEP
18. NAME OF CHILD OR DEPENDENT	19. DATE OF BIRTH	20. RELATIONSHIP
21. ADDRESS (INCLUDE NAME OF CUSTODIAN IF OTHER THAN CLAIMANT)		22. DEP
23. NAME OF CHILD OR DEPENDENT	24. DATE OF BIRTH	25. RELATIONSHIP
26. ADDRESS (INCLUDE NAME OF CUSTODIAN IF OTHER THAN CLAIMANT)		27. DEP
28. NAME OF CHILD OR DEPENDENT	29. DATE OF BIRTH	30. RELATIONSHIP
31. ADDRESS (INCLUDE NAME OF CUSTODIAN IF OTHER THAN CLAIMANT)		32. DEP
33. NAME OF FATHER		
34. ADDRESS OF FATHER (SEE SPECIAL INSTRUCTIONS BEFORE COMPLETING BLOCK 35)		35. DEP
36. NAME OF MOTHER		
37. ADDRESS OF MOTHER (SEE SPECIAL INSTRUCTIONS BEFORE COMPLETING BLOCK 38)		38. DEP

39. WERE YOU PREVIOUSLY MARRIED? ☐ YES ☐ NO	40. PRIOR MARRIAGE DISSOLVED BY ☐ DEATH ☐ ANNULMENT ☐ DIVORCE	41. DATE	42. PLACE (CITY & STATE OR COUNTRY)
43. WAS SPOUSE PREVIOUSLY MARRIED? ☐ YES ☐ NO	44. PRIOR MARRIAGE DISSOLVED BY ☐ DEATH ☐ ANNULMENT ☐ DIVORCE	45. DATE	46. PLACE (CITY & STATE OR COUNTRY)

47. OTHER	48. ADDRESS	49. RELATIONSHIP	
50. NEXT OF KIN OF SPOUSE (NOT HUSBAND, WIFE OR MINOR CHILD)	51. ADDRESS	52. RELATIONSHIP	
53. BENEFICIARY(S) FOR UNPAID PAY AND ALLOWANCES	54. ADDRESS	55. RELATIONSHIP	56. %
57. PERSON TO RECEIVE ALLOTMENT IF IN A MISSING STATUS. SUBJECT TO SECNAV DETERMINATION	58. ADDRESS		59. %
60. BENEFICIARY(S) FOR GRATUITY PAY (NO SPOUSE OR CHILD SURVIVING)	61. ADDRESS	62. RELATIONSHIP	63. %
64. LIFE INSURANCE DATA (NAME OF CO) (DO NOT INCLUDE SGLI)	65. ADDRESS	66. POLICY NUMBER	

67. RELIGION	68.	69.	70. RANK / RATE	71. PAGE	72. OF PAGES
73. NAME OF DESIGNATOR (LAST, FIRST, MIDDLE)			74. SSN	75. USN ☐	76. USNR ☐

NAVPERS 1070 /602 (Rev. 7-72) S/N 0106-018-6035 PART II BUREAU OF NAVAL PERSONNEL

Figure II-6 (Cont'd)

NAVPERS 1070/602 (Rev. 7-72) (PART II) (BACK)

77. LOCATION OF WILL OR OTHER VALUABLE PAPERS

78. REMARKS

Is beneficiary designation of S. G. L. I. on file?	☐ YES	☐ NO	DATE (If Yes)

NOTE: THIS FORM DOES NOT DESIGNATE OR CHANGE BENEFICIARIES OF GOV'T LIFE INSURANCE.

79. SIGNATURE OF DESIGNATOR	80. SIGNATURE OF APPROVING OFFICER, TITLE, AND DATE

CERTIFICATION OF DESIGNATOR

I have reviewed the data entered on this form and certify that it is correct.
Execute a new NAVPERS 1070/602 if data is not correct.

DATE	SIGNATURE OF DESIGNATOR	DATE	SIGNATURE OF DESIGNATOR

2. As Viewed by the Placement Officer

The placement officer owns the billets. It is up to the detailers to "sell" their officers to the placement officers, who will "buy" the officer if his record, skills, and experience meet the requirements of the position. The Navy personnel assignment system has tasked the placement officer with filling open billets with the most qualified and capable officers available. As a result, he will usually shop around and examine the market prior to "buying" an officer from a detailer.

The detailer attempting to get his officer into a position will provide the placement officer with the individual's record. Accordingly, the placement officer has the same information available to him as does the detailer. He, too, relies heavily on the fitness reports to provide him with the data he needs.

Ideally, by this interaction between the detailer and the placement officer, the best possible officer will be assigned to a billet. However, as the users of fitness reports and other records, the detailers and placement officers have no control over the accuracy and completeness of the reports. Once again, "garbage-in" may result in "garbage-out" with consequences on individual officer assignment.

D. MOTIVATION

Many reporting seniors utilize the fitness report as a motivator or incentive for officers to perform to the maximum extent possible. Even if a reporting senior does not consciously do this, his officers may perceive this to be so, which has the same impact.

It is not the high marks or glowing narrative themselves that motivate most officers, but rather the implications and rewards to be obtained as a result of them - promotion, selection, and assignment to the "career enhancing" billets.

If the utilization of the fitness report works as a motivator for an officer, then it is a useful management tool and should be considered for use as such. However, the wholesale implementation of this philosophy to all officers could possibly have disastrous results. Not all officers are motivated by the same things, and one officer's inspiration may be another's deflator. The fact that the fitness report is a unique, dynamic interaction between the rating senior and subordinate should be kept in mind at all times, with each officer being selectively managed and motivated in the most suitable manner.

III. REVISED FITNESS REPORT FORM

From the many uses of the fitness report described in Chapter II, it is probable that an officer's fitness report is the most important document in his record. Its contents and the officer's relative ranking with his contemporaries will act together to help determine his career as a naval officer. Users of the fitness report are attempting to determine the officer's future potential based on the performance in previous duty assignments and prior qualifications obtained. Most times when an officer's record is reviewed, the entire record is looked at to determine patterns in the officer's performance. Although any single fitness report is important, it can be put into a larger perspective by comparing it to the officer's previous reports and by considering other variables such as the type of billet, the relative ranking with contemporaries, whether the reporting senior is a "hard" or "easy" marker, and many other changing factors.

Since 1900, the Navy has revised the fitness report twenty-three times. This frequency of format changes has resulted in a new form being utilized on an average of once every three years. This frequent changing is in recognition

of the fact that fitness reports are not yet perfect instruments, but must be responsive to the changing requirements of the personnel management system that they support. To be really useful tools, as the demands change, so too must the information contained in the reports change.

A. BACKGROUND

After extensive study and research, the Navy Officer Evaluation System Committee, comprised of officers assigned to the Bureau of Naval Personnel and possessing a wide range of naval skills and extensive experience, recommended in 1972 to the Chief of Naval Personnel that a major revision was required in the fitness report format.

1. Reasons for Revision

To insure that the fitness report satisfies the many functions for which it is designed and to fully utilize the available technology of performance measurement that applies to naval officers rotating among the thousands of leadership jobs throughout the Navy, the Chief of Naval Personnel in 1972 proposed a revised format. The specific goals or objectives of the revision were to [Center for Naval Analysis Study 1022, p. 1]:

a. Add items that would reflect an officer's ability to manage people, in addition to the ability to get the job done.

b. Phrase items, where possible, in terms of specific observable behaviors, rather than in terms of personal traits, characteristics, or attributes.

c. Design marking scales to better distinguish among different levels of performance.

d. Provide a basis for performance appraisal discussions between reporting seniors and their subordinates.

e. Design a record copy that could be machine-readable (Optical Character Reading - OCR).

B. METHOD

Following a determination of what job behaviors should be evaluated and how to best evaluate them, a revised fitness report form was developed. The previous and revised forms are included herein as Figures III-1 and III-2, respectively. The Appraisal Work Sheet designed to be utilized with the revised form is included as Figure III-3.

1. Try-Out

A field test was designed to "...collect data for evaluating the characteristics of the revised form, for comparing it with data from previous fitness report forms, and to gauge the reactions of officers in the fleet to the revised form [Center for Naval Analysis Memorandum of 16 Feb 73, p. 2]."

Figure III-1

NAVPERS 1611/1 (Rev. 12-69)

REPORT ON THE FITNESS OF OFFICERS

(Refer to BUPERSINST 1611 Series)

1. NAME *(Last, first, middle)*	2. GRADE	3. DESIGNATOR	4. SSAN	5. FILE NUMBER

6. SHIP OR STATION *(at which duty evaluated was performed)*	7. DATE REPORTED THIS DUTY STATION

8. OCCASION FOR REPORT	9. TYPE OF REPORT	10. PERIOD OF REPORT
☐ PERIODIC ☐ DETACHMENT OF REPORTING SENIOR ☐ DETACHMENT OF OFFICER	☐ REGULAR ☐ CON-CURRENT ☐ SPECIAL	FROM: TO:

11. DUTIES: *(Identify PRIMARY and principal COLLATERAL duties assigned, indicating number of months assigned each during period of report - list Primary duties first. For reports based on other than "Close Observation" indicate after Primary duty the number of months duties assigned followed by the number of months duties were performed physically separated from the reporting senior, if applicable, (e.g. 6/4). Indicate inclusive date of periods of non-availability due to hospitalization, temporary additional duty, leave and travel between duty stations. Describe the demands, qualifications necessary, responsibilities, and conditions peculiar to any billet of an unusual nature and not understood by naval officers in general - append supplemental sheet for this purpose if space is inadequate.)*

12. EMPLOYMENT OF COMMAND (DEPARTMENT/DIVISION/UNIT) DURING PERIOD OF THIS REPORT: *(The setting in which officer displayed his abilities - Do NOT use code, names, unusual or extreme abbreviations)*

13. GENERAL INSTRUCTIONS

(a) ALL EVALUATIONS MADE IN THIS REPORT SHALL BE IN COMPARISON WITH OFFICERS OF THE SAME GRADE, COMPETITIVE CATEGORY (I.E., UNRESTRICTED LINE WITH UNRESTRICTED LINE, SUPPLY CORPS WITH SUPPLY CORPS, ETC.), AND APPROXIMATE TIME IN GRADE WHOM YOU HAVE KNOWN.

(b) A MARK IN THE HIGHEST MARKING BOX OF SECTION 18(a) CONSTITUTES A NOMINATION FOR ACCELERATED PROMOTION AHEAD OF YEAR GROUP. SUCH A REPORT, IF NOT COMPLETED BY A FLAG OFFICER, MUST BE FORWARDED VIA THE NEXT SENIOR IN THE CHAIN OF COMMAND FOR REVIEW AND ENDORSEMENT ON SUPPLEMENTAL FORM NAVPERS 1611/5 (REV. 12-69)

(c) REPORTS ON CERTAIN CAPTAINS, IF NOT COMPLETED BY A FLAG OR GENERAL OFFICER, MUST BE FORWARDED VIA THE FIRST FLAG OR GENERAL OFFICER IN THE CHAIN OF COMMAND, FOR ENDORSEMENT AND COMMENT REGARDING FLAG POTENTIAL. USE SUPPLEMENTAL FORM NAVPERS 1611/5. (REV. 12-69).

14. Entries on this report are based on which one of the following relationships?

☐ Close Observation ☐ Frequent Observation ☐ Infrequent Observation ☐ Records and Reports Only

15. PERFORMANCE OF DUTIES: *(Indicate evaluation by "X" in appropriate marking column for each item and provide supporting comments in Section 21)*

(Details of duties noted in Section 11)	NOT OBS OR N.A	Outstanding performance.		Excellent performance. Frequently demonstrates outstanding performance.		Very good performance. Frequently demonstrates excellent performance.		Satisfactory performance. Basically qualified.		Inadequate performance. He is not qualified. (Adverse)
(a) EVALUATION OF OVERALL PERFORMANCE OF ALL DUTIES ASSIGNED										
(b) SPECIFIC ASPECTS OF DUTIES: (1) SHIPHANDLING AND SEAMANSHIP										
(2) AIRMANSHIP										
(3) SUBSPECIALTY/SPECIALTY (IDENTIFY):										
(4) MANAGEMENT										
(5) AS _____ WATCH/DUTY OFFICER										

16. DESIRABILITY: *Indicate your attitude toward having this officer under your command in the following categories of assignment:*

CATEGORIES	NOT OBS	Particularly desire		Prefer to most		Pleased to have		Satisfied to have		Prefer not to have (Adverse)
(a) COMMAND										
(b) OPERATIONAL										
(c) STAFF										
(d) JOINT/OSD										
(e) FOREIGN SHORE										

17. FUTURE ASSIGNMENT: *Based on your observation of this officer's capacity for accepting increased responsibilities, for what type of duty do you consider his best qualified for future assignment - sea and shore? (Including employment in a subspecialty for which best fitted)*

(a) SEA _____

(b) SHORE _____

Comment, if appropriate

18. OVERALL EVALUATION:

(a) BASED ON YOUR OBSERVATION OF THIS OFFICER'S PERFORMANCE AND CONSIDERING EVERYTHING THAT YOU KNOW ABOUT HIM, HOW WOULD YOU DESIGNATE HIM?

NOT OBS	I NOMINATE HIM FOR ACCELERATED PROMOTION	One of the top few	An excellent officer of great value to the service		A fine and typically effective officer		Entirely satisfactory in present grade		Unsatisfactory (Adverse)
	*								

**If you designate more than one in this category, you must indicate this officer's standing in relation to the others (e.g., 1 of 3, 2 of 3, 3 of 3, etc.)*

(b) In order to assist report users in making comparison among reports submitted by different seniors with varying standards of evaluation, a reasonably large sampling of the overall evaluations given other officers at this time is required. Accordingly, for reports submitted on this occasion, indicate here how many officers of his grade (including all categories or designators and time in grade) you have marked in each category of (a). Indicate line/staff corps breakdowns within each summary figure. (e.g., 5(3L/2S), 11(9L/2S), etc.) The reporting of so breakdown will indicate that all are the same general category.

19. NAME, GRADE, FILE NUMBER, DESIGNATOR, AND TITLE OF REPORTING SENIOR

Figure III-1 (Cont'd)

NAVPERS 1611/1 (Rev. 12-69) (BACK)

20. PERSONAL CHARACTERISTICS: *To what degree has this officer exhibited the following qualities?*

MARKING INSTRUCTIONS *Assign a mark of "X" in the appropriate column for each quality.*	NOT OBSERVED	IS NOT EXCEEDED	ONE OF THE TOP FEW	ABOVE THE MAJORITY	EQUAL TO THE MAJORITY	BELOW THE MAJORITY	BARELY SATISFACTORY	UNSATISFACTORY (ADVERSE)
(a) PROFESSIONAL KNOWLEDGE *(Comprehension of all aspects of the profession)*								
(b) MORAL COURAGE *(To do what he ought to do regardless of consequences to himself)*								
(c) LOYALTY *(His faithfulness and allegiance to his shipmates, his command, the service and the nation)*								
(d) FORCE *(The positive and enthusiastic manner with which he fulfills his responsibilities)*								
(e) INITIATIVE *(His willingness to seek out and accept responsibilities)*								
(f) INDUSTRY *(The zeal exhibited and energy applied in the performance of his duties)*								
(g) IMAGINATION *(Resourcefulness, creativeness, and capacity to plan constructively)*								
(h) JUDGMENT *(His ability to develop correct and logical conclusions)*								
(i) ANALYTICAL ABILITY *(Logical incisiveness which discriminates between assumption, fact, and hypothesis)*								
(j) DECISIVENESS *(The ability to act rationally and with dispatch within limits of authority assigned or delegated)*								
(k) RELIABILITY *(The dependability and thoroughness exhibited in meeting responsibilities)*								
(l) COOPERATION *(His ability and willingness to work in harmony with others)*								
(m) PERSONAL BEHAVIOR *(His demeanor, disposition, sociability and sobriety)*								
(n) MILITARY BEARING *(His military carriage, correctness of uniform, smartness of appearance and physical fitness)*								
(o) SELF-EXPRESSION *(ORAL) (His ability to express himself orally)*								
(p) SELF-EXPRESSION *(WRITTEN) (His ability to express himself in writing)*								

21. COMMENTS: Make specific comments consistent with marks in other sections. Mention strengths, special accomplishments, or weaknesses. Emphasize displayed potential for professional development and leadership ability and potential for assuming greater responsibilities and promotion. Support nominations for accelerated promotion fully. Comment upon degree of attainment of objectives for which subordinate was accountable. When applicable: comment upon efforts and effectiveness in retention/reenlistment of quality personnel; upon economy displayed by effective use of manpower/material; attention to and use of good material maintenance procedures and engineering practices. Comment on performance in, and contribution to, subspecialty, if appropriate. Mention attainment of specific qualifications (e.g., OOD Underway, plane commander, submarine or destroyer command, etc.). (THIS SPACE MUST NOT BE LEFT BLANK)

22. ADMINISTRATIVE ACTION: (Each question in this section MUST be answered)

(a) Significant weaknesses should be discussed with the officer-- Has this been done? ☐ YES ☐ NO *(Explain in Section 21)* ☐ NO SIGNIFICANT WEAKNESSES NOTED

(b) What has been the trend of his performance since your last report? ☐ FIRST REPORT ☐ IMPROVING ☐ CONSISTENT ☐ DECLINING *(Must discuss with officer)*

(c) Has the officer seen this report? ☐ YES ☐ NO

In the interest of maintaining effective communications with subordinates, reporting seniors are encouraged to discuss this report with the officer, but not necessarily show it to him. Has this been done? ☐ YES ☐ NO

(d) Communications which are a direct reflection of this officer's performance should be considered in making comments in Section 21. Such communications may be forwarded separately for file in his Selection Board Jacket. Exception: A copy of a letter of censure (including appeal and denial) must be appended to the first fitness report submitted after it becomes final.

(e) Reports containing matter of an adverse nature (in marks or comments or appended) must be referred for statement pursuant to Navy Regulations. Statement of officer must be endorsed and attached to this report.

23. DATE FORWARDED	SIGNATURE OF REPORTING SENIOR	Concurrent and special reports must be forwarded via the officer's regular reporting senior. To avoid possible loss or misrouting of a concurrent or special report, the receipt form must be mailed direct to BuPers as the concurrent or special report is forwarded to the regular reporting senior.
24. DATE NOTED AND FORWARDED	SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT OR SPECIAL REPORT	

S/N 0105-014-6001

Figure III-2

ALIGN FIRST CHARACTER IN THIS BOX — TYPE THE WORD ALIGN TO REGISTER HERE — ALIGN

*U.S. GOVERNMENT PRINTING OFFICE: 1973 — 488-666

BUPERS USE ONLY

P1611-1

BUPERS USE ONLY

REPORT ON THE FITNESS OF OFFICERS

1. NAME (LAST, FIRST MIDDLE) | 2 GRADE | 3 DESIG | 4 SSN

5 ACDUTRA/TEMAC | 6 UIC | 7. SHIP/STATION | 8 DATE REPORTED

OCCASION FOR REPORT: 9 PERIODIC | 10 DETACHMENT OF REPORTING SENIOR | 11 DETACHMENT OF OFFICER | PERIOD OF REPORT 12 FROM | 13 TO

TYPE OF REPORT: 14 REGULAR | 15 CONCURRENT | 16 SPECIAL | 17 OPS CDR | BASIS FOR OBSERVATION: 18 CLOSE | 19 FREQUENT | 20 INFREQUENT

21 EMPLOYMENT OF COMMAND (CONTINUED ON REVERSE SIDE OF RECORD COPY) | 22 DAYS OF COMBAT

23 REPORTING SENIOR (LAST NAME, FI MI) | 24 TITLE | 25 GRADE | 26 DESIG | 27 SSN

28 DUTIES ASSIGNED (CONTINUED ON REVERSE SIDE OF RECORD COPY)

SPECIFIC ASPECTS OF PERFORMANCE (TYPE IN OCR CODE LETTER FROM WORK SHEET)

A: 29 GOAL SETTING & ACHIEVEMENT | 30 SUBORDINATE MANAGEMENT & DEVELOPMENT | 31 WORKING RELATIONS | 32 EQUIP & MATERIAL MANAGE | 33 NAVY OR CAN SUPPORT | 34 RESPONSE IN STRESSFUL SITUATIONS | 35 EQUAL OPPORTUNITY | 36 SPEAKING ABILITY | 37 WRITING ABILITY

WARFARE SPECIALTY SKILLS (FROM OCR WORK SHEET): 38 SEAMANSHIP | 39 AIRMANSHIP | 40 WATCH STANDING | 41. | 42 | 43

44 SUBSPECIALTY CODE | REQUIRED BY BILLET: 45 YES | 46 NO | UTILIZATION: 47 FREQUENT | 48 INFREQUENT | 49 NONE | (WORK SHEET CODE) 50 PERFORMANCE

MISSION CONTRIBUTION	NOT OBS	TOP 1%	5%	10%	30%	TYPICALLY EFFECTIVE OFFICER 50%	50%	BOTTOM 30%	MARG	UNSAT*
51 EVALUATION										
52 SUMMARY										

TREND OF PERFORMANCE: 53 FIRST REPORT | 54 CONSISTENT | 55 IMPROVING | 56 DECLINING*

B: DESIRABILITY (TYPE IN OCR CODE FROM WORK SHEET): 57 COMMAND | 58 OPERATIONAL | 59 STAFF | 60 JOINT/OSD | 61 FOREIGN SHORE

RECOMMENDATION FOR PROMOTION: 62. EARLY | 63 REGULAR | 64 NO* | RANKING FOR EARLY PROMOTION: 65 NUMBER RECOMMENDED | 66 RANKING

PERSONAL TRAITS (TYPE IN OCR CODE FROM WORK SHEET): 67 JUDGMENT | 68 IMAGINATION | 69 ANALYTIC ABILITY | 70 PERSONAL BEHAVIOR | 71 FORCEFULNESS | 72 MILITARY BEARING

C: 73 | 74 | 75 | 76

WEAKNESSES DISCUSSED? 77 NONE NOTED | 78 YES | 79 NO* | STATEMENT 80 NOT DESIRED | 81 ATTACHED

D: 82 SIGNATURE OF OFFICER EVALUATED (LAW BUPERS INST 1611.12 SERIES) "I ACKNOWLEDGE THAT I HAVE SEEN THIS REPORT AND HAVE BEEN APPRISED OF MY PERFORMANCE"

E: 83 DATE FORWARDED | 84 | 85 SIGNATURE OF REPORTING SENIOR

F: 86 DATE FORWARDED | 87 SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT AND CONCURRENT/SPECIAL REPORT

NAVPERS 1611/1 (REV 9-72) S/N 0106-078-3113 — WORK SHEET (0-73)

DETACH WORK SHEET BEFORE COMPLETING FORM

* Comments are required. Enter comments in Section 88 on RECORD and OFFICER copies.
DO NOT ATTACH CONTINUATION PAGES TO OCR COPY.

Figure III-2 (Cont'd)

21 EMPLOYMENT OF COMMAND (Continued)

28 DUTIES ASSIGNED (Continued)

88 COMMENTS. Particularly comment upon the officer's overall leadership ability, personal traits not listed on the reverse side and estimated or actual performance in combat. Include comments pertaining to unique skills and distinctions that may be important to career development and future assignment. A mark in boxes with an asterisk (*) indicates adversity and supporting comments are required.

Figure III-3

APPRAISAL WORK SHEET

NAVPERS 1611/7 (W) (6-73) S/N 0106-015-3110

1. NAME (Last First Middle)	2. GRADE	3. DESIG.	4. SSN

5. ACQUIRA-TEMAC	6. UNIT ID CODE	7. SHIP OR STATION	8. DATE REPORTED

OCCASION OF REPORT
9. ☐ PERIODIC 10. ☐ DETACHMENT OF REPORTING SENIOR 11. ☐ DETACHMENT OF OFFICER

PERIOD OF REPORT
12. FROM 13. TO

TYPE OF REPORT
14. ☐ REGULAR 15. ☐ CONCURRENT 16. ☐ SPECIAL 17. ☐ OPS CDR

BASIS FOR OBSERVATION
18. ☐ CLOSE 19. ☐ FREQUENT 20. ☐ INFREQUENT

21. EMPLOYMENT OF COMMAND (Summarize major activities of command during this reporting period. do not use code names, unusual or extreme abbreviations.)

22. DAYS OF COMBAT

23. REPORTING SENIOR	24. TITLE	25. GRADE	26. DESIG.	27. SSN

GENERAL INSTRUCTIONS

This Appraisal Work Sheet is designed to serve two purposes. First to assist in preparation of the OCR Sheet Record copy, and second, to provide guidelines for the performance appraisal discussion.

All evaluations made in this report shall be in comparison with officers of the same grade, competitive category (i.e. unrestricted line with unrestricted line, supply corps with supply corps, etc.), and approximate time in grade whom you have known.

Due to space limitations of the OCR Sheet, it is necessary to transcribe percentile evaluation marks into corresponding OCR code letters for certain items. To prevent transcription error, an OCR code letter box has been provided for each of these items to facilitate transfer of the information to the OCR Sheet.

General comments are required in item 28. Any mark in boxes with an asterisk (*) indicates adversity and supporting comments are required in item 28. The officer receiving adverse marks must be informed of such and be given the opportunity to make a statement.

28. DUTIES ASSIGNED. (Identify principal duties assigned, primary collateral duties and watch qualifications, indicating number of months assigned each during the period of report. Indicate inclusive dates of periods of temporary duty due to hospitalization, temporary additional duty and leave and travel between duty stations. For reports based on other than "Close Observation" indicate after primary duty the number of months duties assigned (followed by the number of months duties were performed physically separated from the reporting senior, if available (e.g. AIA). These duties along with command mission should be discussed with the officer early in the reporting period. (Refer to BUPERS Inst 1611.1C Series for OCR Copy Entry.))

SPECIFIC ASPECTS OF PERFORMANCE. (The following items are specific aspects of performance. Each aspect has the sub-items listed below it to assist in defining it and to provide guidelines for the performance appraisal discussion. As you evaluate the officer on each performance aspect, review the sub-items and place marks in the appropriate boxes to the right of each sub-item. The marks in the sub-item boxes are guidelines only. This work sheet is retained by the reporting command for the performance appraisal discussion. It is not forwarded with the OCR Sheet. After reviewing the sub-items and indicating strengths and areas requiring greater emphasis, select percentile score from the table below and place the appropriate transcription code letter in the OCR code letter box to the right of each item for transfer to the OCR Sheet (items 29 through 37.)

TRANSCRIPTION CODE	R	A	B	C	D	E	F	G	H	I
	N.A./N.O.	TOP				TYPICALLY EFFECTIVE OFFICER		BOTTOM		
PERCENTILE		1%	5%	10%	20%	50%	50%	20%	MARG	UNSAT*

	N.A./ N.O.	A NOTEWORTHY STRENGTH	AN ASSET	NEEDS GREATER EMPHASIS	OCR CODE LETTER
29. GOAL SETTING AND ACHIEVEMENT					
A. DEFINES REALISTIC GOALS	☐	☐	☐	☐	☐
B. DEVELOPS PLANS AND PRIORITIES	☐	☐	☐	☐	
C. INVOLVES SUBORDINATES IN PLANNING	☐	☐	☐	☐	
D. RESPONDS POSITIVELY TO CHANGING CIRCUMSTANCES	☐	☐	☐	☐	
E. EFFECTIVELY ACHIEVES GOALS	☐	☐	☐	☐	
30. SUBORDINATE MANAGEMENT AND DEVELOPMENT					
A. ESTABLISHES EQUITABLE AND CONSISTENT POLICIES	☐	☐	☐	☐	☐
B. CONSIDERS THE IDEAS AND SUGGESTIONS OF SUBORDINATES	☐	☐	☐	☐	
C. IS EFFECTIVE IN PERSONAL SUPERVISION	☐	☐	☐	☐	
D. PLACES SUBORDINATES IN CHALLENGING SITUATIONS TO DEVELOP THEIR ABILITIES	☐	☐	☐	☐	
E. DELEGATES AUTHORITY COMMENSURATE WITH SUBORDINATES' CAPABILITIES	☐	☐	☐	☐	
31. WORKING RELATIONS					
A. WORKS FOR HIGH MORALE WHILE ACCOMPLISHING MISSION	☐	☐	☐	☐	☐
B. COOPERATES HARMONIOUSLY WITH OTHERS	☐	☐	☐	☐	
C. ENCOURAGES SUBORDINATES' INITIATIVES IN ACCOMPLISHING WORK	☐	☐	☐	☐	
D. GIVES PERSONAL COUNSELING AND TIMELY PERFORMANCE APPRAISAL	☐	☐	☐	☐	
E. ENCOURAGES TWO WAY COMMUNICATIONS.	☐	☐	☐	☐	
32. EQUIPMENT AND MATERIAL MANAGEMENT					
A. IS FAMILIAR WITH EQUIPMENT CAPABILITIES.	☐	☐	☐	☐	☐
B. CONSIDERS ECONOMY IN EQUIPMENT AND MATERIAL MANAGEMENT	☐	☐	☐	☐	
C. ENCOURAGES RESOURCEFULNESS IN MATERIAL UTILIZATION	☐	☐	☐	☐	
D. IS COMMITTED TO IMPROVEMENT OF WORKING AND LIVING ENVIRONMENT	☐	☐	☐	☐	
E. SUPPORTS ORGANIZED MAINTENANCE PROGRAMS	☐	☐	☐	☐	
33. NAVY ORGANIZATION SUPPORT					
A. EXHIBITS POSITIVE ATTITUDE TOWARD THE NAVY	☐	☐	☐	☐	☐
B. OBSERVES TWO WAY CHAIN OF COMMAND	☐	☐	☐	☐	
C. SEEKS AND ACCEPTS RESPONSIBILITY	☐	☐	☐	☐	
D. USES AUTHORITY PROPERLY	☐	☐	☐	☐	
E. STRIVES FOR PROFESSIONAL SELF IMPROVEMENT	☐	☐	☐	☐	
34. RESPONSE IN STRESSFUL SITUATIONS					
A. RECOGNIZES POTENTIAL HAZARDS	☐	☐	☐	☐	☐
B. RETAINS COMPOSURE AND EFFECTIVENESS	☐	☐	☐	☐	
C. ACTS DECISIVELY	☐	☐	☐	☐	
D. TAKES EFFECTIVE ACTION	☐	☐	☐	☐	
35. EQUAL OPPORTUNITY					
A. TAKES EFFECTIVE ACTION TO INCREASE HIS OWN AND HIS SUBORDINATES' RACIAL AWARENESS	☐	☐	☐	☐	☐
B. INITIATES ACTIONS IN SUPPORTING THE NAVY'S EQUAL OPPORTUNITY GOALS, PROGRAMS AND DIRECTIVES	☐	☐	☐	☐	
C. CONSIDERS MINORITY GROUPS IN PLANNING AND IMPLEMENTATION OF PERSONNEL ACTIONS	☐	☐	☐	☐	

36. ABILITY TO SPEAK IN AN EFFECTIVE MANNER ☐ OCR CODE LETTER

37. ABILITY TO WRITE IN AN EFFECTIVE MANNER ☐ OCR CODE LETTER

Figure III-3 (Cont'd)

BUPERS 1611/7 (Rev 10-72) S/N 0106-079-3118 (Back)

WARFARE SPECIALTY SKILLS Demonstrated performance and knowledge in exercising the warfare specialty. Indicate evaluation in each applicable skill area by selecting appropriate percentile score from the grade and placing the mnemonic code letter in the OCR code letter box.

TRANSCRIPTION CODE

N	A	B	C	D	E	F	G	H	I
N A / N O	TOP				TYPICALLY EFFECTIVE OFFICER		BOTTOM		
	1%	5%	10%	30%	50%	50%	30%	Marg	Unsat*

PERCENTILE

		OCR CODE LETTER
SEAMANSHIP	38	
AIRMANSHIP	39	
WATCH STANDING	40	

41 42 43 (PLACE BLANK ON OCR FORM)

SUBSPECIALTY (Complete if applicable)

SUBSPECIALTY CODE
(Enter subspecialty code from latest ODCR)

44 _____

SUBSPECIALTY REQUIRED BY BILLET
(Indicate whether billet is subspecialty coded)

45 ☐ YES 46 ☐ NO

SUBSPECIALTY UTILIZATION
(Indicate degree of utilization of subspecialty)

47 ☐ FREQUENT 48 ☐ INFREQUENT 49 ☐ NONE

SUBSPECIALTY PERFORMANCE (Indicate evaluation of subspecialty performance by selecting appropriate percentile score from the grade in WARFARE SPECIALTY SKILLS and placing the mnemonic code letter in the OCR code letter box.)

50 OCR CODE LETTER ☐

MISSION CONTRIBUTION (Evaluate the officer's performance with regard to his contribution to the unit's mission, including effective use and care of the men and the mission and completion of his assigned tasks.)

EVALUATION (Indicate evaluation by placing an X in appropriate box and provide supporting comments in section IIA emphasizing how well the officer contributed to mission accomplishment while effectively integrating men and the mission.)

SUMMARY DISTRIBUTION Enter the total of all officers of the rank and competitive category marked in each corresponding block of item 51 on reports submitted by you on this occasion. Enter 0 for none. Include this officer in the summary. Include Regular, Concurrent and Special Reports submitted by you on officers of this rank on this occasion.

PERCENTILE	NOT OBS	TOP				TYPICALLY EFFECTIVE OFFICER		BOTTOM		
		1%	5%	10%	30%	50%	50%	30%	Marg	Unsat*
51. EVALUATION										
52. SUMMARY										

TREND OF PERFORMANCE (Since last report)

53 ☐ First Report 54 ☐ Consistent 55 ☐ Improving 56 ☐ Declining*

DESIRABILITY (Indicate your attitude toward having this officer under your command in the following categories of assignment. Select the mnemonic code letter corresponding to the relevant description and place it in the OCR code letter box.)

	OCR CODE LETTER		OCR CODE LETTER	
57	☐	COMMAND	60 ☐	JOINT/DOD
58	☐	OPERATIONAL	61 ☐	FOREIGN SHORE
59	☐	STAFF		

DESIRABILITY TRANSCRIPTION CODE	N A / N O	PARTIC DESIRE		PREFER		PLEASED		SAT		PREFER NOT*
	N	A	B	C	D	E	F	G	H	I

RECOMMENDATION FOR PROMOTION As a consequence of this officer's completed performance and potential during this evaluation period I would recommend: (Indicate recommendation by X in appropriate box.)

62 ☐ EARLY PROMOTION 63 ☐ REGULAR PROMOTION 64 ☐ NO PROMOTION

IF THIS OFFICER IS RECOMMENDED FOR EARLY PROMOTION (rank him with all officers of the same grade and competitive category recommended for early promotion during the reporting period. Indicate total number of such officers in the number recommended box. Indicate this officer's ranking in the ranking box. If the officer is 2 of 4 place 2 in the ranking box. If he is 1 of 1 place 1 in the box.)

65 ☐ NUMBER RECOMMENDED 66 ☐ RANKING

PERSONAL TRAITS In what percentile do you rate this officer in exhibiting the following qualities? Indicate evaluation by selecting appropriate percentile score from the grade in WARFARE SPECIALTY SKILLS and placing the mnemonic code letter in the boxes provided.

67 ☐ **Judgment** Sound reasoning, develops logical conclusions
68 ☐ **Initiative** Resourcefulness, creativeness, constructive planning
69 ☐ **Analytical ability** Logical discrimination between assumption and fact
70 ☐ **Personal behavior** Demonstrated worth and public bearing
71 ☐ **Performance** Positive and enthusiastic performance of duty
72 ☐ **Military bearing** Smartness of appearance, correctness of uniform, physical fitness

(PLACE BLANK ON OCR FORM) 73 ☐ 74 ☐ 75 ☐ 76 ☐

WEAKNESSES Significant weaknesses should be discussed with the officer. Has this been done?

77 ☐ NONE NOTED (INSIGNIFICANT) 78 ☐ YES 79 ☐ NO

80 81 **STATEMENT** The officer shall indicate if he does not desire to make a statement or a statement is attached.

82 **SIGNATURE OF OFFICER EVALUATED** (AN ELECTRONIC SIGNATURE IS ACCEPTABLE)

83 **DATE FORWARDED** Date reporting senior signed and forwarded report

84 (PLACE BLANK ON OCR FORM)

85 **SIGNATURE OF REPORTING SENIOR**

86 **DATE FORWARDED** Date regular reporting senior signed and forwarded (Number of days)

87 **SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT AND CONCURRENT/SPECIAL REPORT**

88 **COMMENTS** Particularly comment upon the officer's overall leadership skills, personal traits not listed above and estimated or actual performance in combat. Include comments pertaining to unique skills and distinctions that may be important to career development and future assignment. Mark in boxes with an asterisk * indicates adverse and supporting comments are required.

☆ U.S. GOVERNMENT PRINTING OFFICE : 1973—728-518/1273 3-1

On a random basis, approximately 2200 Unrestricted Line Officers (LTJG through Captain) were selected from the Officer Master Tape as the sample for the trial. For various reasons, 300 were eliminated leaving 1900 officers filling surface, submarine, and aviation billets. Only Unrestricted Line Officers were included to facilitate comparison of the test results. The revised worksheet and fitness report form were sent to the reporting seniors along with instructions on how to complete the forms. To test the effect of showing versus not showing the reports to the subordinate, another sample of 370 officers (LCDRs) was drawn, with their reporting seniors receiving the same forms and instructions as the initial sample, except that the reports were not to be shown to the officer.

2. Results

1121 completed forms were returned for analysis. The following are some of the results [Center for Naval Analysis Memorandum of 16 Feb 73, p. 4]:

a. Although the marking of the performance elements showed a skewness to the high side, the range of marks increased and there was an overall decrease in skewness.

b. Internal validation was effected by examining the:

(1) Skew of Marks. "Leniency error," or the upward shift of marks for more senior officers, resulted in Captains being marked higher than Commanders, who were marked higher than Lieutenant-Commanders, etc.

(2) Halo Effect. Most officers who received high or low marks on one aspect of performance usually received similar marks on seemingly unrelated areas. This seemed to indicate that reporting seniors tended to mark according to a general impression rather than a separate judgment in each rating area.

(3) Specific Aspects of Performance. In utilization of the Fitness Report Worksheet, it was noted that the mentioning of weaknesses had a greater effect on movement of the total score than the mentioning of specific strengths.

(4) Showing vs. Not Showing Marks. Of the subsample of 370 LCDRs who were not shown their evaluations by their reporting seniors, significantly lower marks were received than those officers who were shown their reports.

Based on these findings, it was determined that the revised report was more internally valid than the existing form.

c. External validation was attempted by comparing the revised form's results with the outcome of previous

formats. The result was that the comparative external validities of the two forms was not unequivocally decided.

(1) Reporting senior continuity. No difference was found in marking trends where an officer had a new reporting senior since his last evaluation was submitted on the old format.

(2) Comparability of marking areas. A high correlation (.60 to .80) existed between the marks on the two forms.

(3) Independency of marking areas. On the revised format, there was less correlation of marks assigned in the four general measures (Mission Contribution, Desirability, Early Promotion, and Specific Aspects of Performance) than the previous forms four general measures (Present Assignment, Desirability, Comparison, and Qualities), concluding that there is more independence between the measures of officer performance than in the previous format.

(4) Distinguishing front-runners and non-performers. As the previous format had relatively little variability in the assigned marks, the revised form did as well as could be expected in identifying different levels of performance. This was determined by comparing the number of good and poor performers on both forms.

(5) Similarities of both forms. Officers filling sea-duty billets consistently received higher average marks than shore-duty officers. Submarine officers received significantly higher marks than surface and aviation officers, while the more senior officers consistently received higher marks than junior officers.

3. Summary

Generally, the reactions of reporting seniors and subordinate officers involved in this "try-out" were favorable. Most officers felt that (1) the revised report adequately measured an individual's past performance and future potential; (2) that the worksheet facilitated the preparation of the fitness report, resulting in a more objective, fair appraisal; and (3) that the worksheet allowed for a constructive discussion of the results between the rater and the ratee.

C. POST TRY-OUT CHANGES

Following the "try-out," several format changes were introduced into the Appraisal Worksheet and OCR Record Copy. Most of the changes consisted of terminology revisions or rearranging of rating elements. However, one significant modification was the addition of the Personal Traits section near the end of the evaluation. This action was taken in

response to comments provided by the reporting seniors and officers included in the sample, as well as requests by the detailers and placement officers working in the Bureau of Naval Personnel to include personal characteristics or traits that they felt were useful in performing their (the detailers and placement officers) duties.

The revised worksheet and record copy are included herein as Figures III-4 and III-5 respectively.

The revised fitness report system was implemented via BUPERSINST 1611.12D dated 16 November 1973 to be effective 31 January 1974.

D. DID ANYTHING REALLY CHANGE?

In 1813, the Commanding Officer of the 27th Infantry Regiment, United States Army, General Lewis Cass submitted to the War Department what has since become famous as the earliest recorded instance of a formal performance evaluation report. It has been cited frequently as a humorous example of fitness reports, for General Cass characterized each of his men in such picturesque but archaic terms as "a good natured man" or "a knave despised by all [Lopez, p. 2]." But the General's report also points up one of the most pressing problems of a century whose technology and engineering constantly threaten to outstrip its social forms and moral imperatives.

Figure III-4

REPORT ON THE FITNESS OF OFFICERS

APPRAISAL WORK SHEET

1. NAME (Last First, Middle)	2. GRADE	3. DESIG	4. SSN

5. SUBSPECIALTY CODE	6. UNIT ID CODE	7. SHIP OR STATION	8. DATE REPORTED

OCCASION OF REPORT
9. ☐ PERIODIC 10. ☐ DETACHMENT OF OFFICER 11. ☐ DETACHMENT OF REPORTING SENIOR

PERIOD OF REPORT
12. FROM: 13. TO:

TYPE OF REPORT
14. ☐ REGULAR 15. ☐ CONCURRENT 16. ☐ SPECIAL

BASIS FOR OBSERVATION
17. ☐ CLOSE 18. ☐ FREQUENT 19. ☐ INFREQUENT

20. EMPLOYMENT OF COMMAND
Summarize major activities of command during this reporting period; do not use codes, names, unusual or extreme abbreviations.

21. COMBAT DAYS

22. REPORTING SENIOR	23. TITLE	24. GRADE	25. DESIG	26. SSN

GENERAL INSTRUCTIONS

ALL EVALUATIONS MADE IN THIS REPORT SHALL BE IN COMPARISON WITH OFFICERS OF THE SAME GRADE, COMPETITIVE CATEGORY (I.E., UNRESTRICTED LINE WITH UNRESTRICTED LINE, SUPPLY CORPS WITH SUPPLY CORPS, ETC.), AND APPROXIMATE TIME IN GRADE, WHOM YOU HAVE KNOWN.

THIS APPRAISAL WORK SHEET IS DESIGNED TO SERVE TWO PURPOSES: FIRST TO ASSIST IN PREPARATION OF THE OCR SHEET/RECORD COPY, AND SECOND, TO PROVIDE GUIDELINES FOR THE PERFORMANCE APPRAISAL DISCUSSION.

DUE TO SPACE LIMITATIONS OF THE OCR SHEET, IT IS NECESSARY TO TRANSCRIBE PERCENTILE EVALUATION MARKS INTO CORRESPONDING OCR CODE LETTERS AS REQUIRED IN ITEMS 35 THROUGH 61. TO PREVENT TRANSCRIPTION ERROR, AN OCR CODE LETTER BOX HAS BEEN PROVIDED FOR EACH OF THESE ITEMS TO FACILITATE TRANSFER OF THE INFORMATION TO THE OCR SHEET.

GENERAL COMMENTS ARE REQUIRED IN ITEM 83. ANY MARK IN BOXES WITH AN ASTERISK (*) INDICATES ADVERSITY AND SUPPORTING COMMENTS ARE REQUIRED IN ITEM 83. THE OFFICER RECEIVING ADVERSE MARKS MUST BE INFORMED OF SUCH AND BE GIVEN THE OPPORTUNITY TO MAKE A STATEMENT.

27. DUTIES ASSIGNED. Identify principal duties assigned, primary collateral duties and watch qualifications, indicating number of months assigned each during the period of report. Indicate inclusive dates of periods of non-availability due to hospitalization, temporary additional duty, and leave and travel between duty stations. For reports based on other than "Close Observation", indicate after primary duty the number of months duties assigned (followed by the number of months duties were performed physically separated from the reporting senior, if available (e.g., 6/4). This job description along with command mission should be discussed with the officer early in the reporting period.

MISSION CONTRIBUTION. Evaluate the officer's performance with regard to his contribution to the unit's mission, including effective integration of the men and the mission and completion of his assigned tasks.

EVALUATION. Indicate evaluation by placing an "X" in appropriate box and provide supporting comments in section 83 emphasizing how well the officer contributed to mission accomplishment while effectively integrating men and the mission.

SUMMARY DISTRIBUTION. Enter the total of all officers of this rank and competitive category marked in each corresponding block of item 28 on reports submitted by you on this occasion. Enter N for none. Include this officer in the summary. Include Regular, Concurrent, and Special Reports submitted by you on officers of this rank on this occasion.

PERCENTILE	NOT OBS	TOP 1%	TOP 5%	TOP 10%	TYPICALLY EFFECTIVE OFFICER 30%	TYPICALLY EFFECTIVE OFFICER 50%	BOTTOM 50%	BOTTOM 30%	BOTTOM Marg	BOTTOM Unsat*
28. EVALUATION										
29. SUMMARY										

RECOMMENDATION FOR PROMOTION. As a consequence of this officer's exhibited performance and potential during this evaluation period I would recommend (indicate recommendation by "X" in appropriate box):

30. ☐ EARLY PROMOTION 31. ☐ REGULAR PROMOTION 32. ☐ NO PROMOTION*

IF THIS OFFICER IS RECOMMENDED FOR EARLY PROMOTION, rank him with all officers of the same grade and competitive category recommended for early promotion during the reporting period. Indicate total number of such officers in the "number recommended" box. Indicate this officer's ranking in the "ranking" box. If the officer is 2 of 3 place a "2" in the "ranking" box; if he is 1 of 1, place a "1" in the box.

33. ☐ NUMBER RECOMMENDED 34. ☐ RANKING

DEMONSTRATED SKILLS.
Demonstrated proficiency and knowledge in executing his warfare specialty. Indicate evaluation in each applicable skill area by selecting appropriate percentile score from the scale and placing the transcription code letter in the OCR code letter box.

TRANSCRIPTION CODE	(N)	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)
PERCENTILE	NOT OBS	TOP 1%	TOP 5%	TOP 10%	TOP 30%	TYPICALLY EFFECTIVE OFFICER 50%	TYPICALLY EFFECTIVE OFFICER 50%	BOTTOM 30%	BOTTOM Marg	BOTTOM Unsat*

		OCR CODE LETTER
SEAMANSHIP/SHIPHANDLING	35.	
AIRMANSHIP	36.	
WATCH STANDING	37.	

SUBSPECIALTY (Complete if applicable)

SUBSPECIALTY NAME
Enter subspecialty names (abbreviate if necessary).

SUBSPECIALTY REQUIRED BY BILLET
Indicate whether billet is subspecialty coded.

SUBSPECIALTY UTILIZATION
Indicate degree of utilization of subspecialty.

						OCR CODE LETTER
38. _____	39. ☐ YES	40. ☐ NO	41. ☐ FREQUENT	42. ☐ INFREQUENT	43. ☐ NONE	44.
45. _____	46. ☐ YES	47. ☐ NO	48. ☐ FREQUENT	49. ☐ INFREQUENT	50. ☐ NONE	51.

SUBSPECIALTY PERFORMANCE.
Indicate evaluation of subspecialty performance by selecting appropriate percentile score from the scale and placing the transcription code letter in the OCR code letter box.

TRANSCRIPTION CODE	(N)	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)
PERCENTILE	NOT OBS	TOP 1%	TOP 5%	TOP 10%	TOP 30%	TYPICALLY EFFECTIVE OFFICER 50%	TYPICALLY EFFECTIVE OFFICER 50%	BOTTOM 30%	BOTTOM Marg	BOTTOM Unsat*

Figure III-4 (Cont'd)

SPECIFIC ASPECTS OF PERFORMANCE. The following items are specific aspects of performance. Each aspect has the sub-items listed below it to assist in defining it and to provide guidelines for the performance appraisal discussion. As you evaluate the officer on each performance aspect, review the sub-items and place marks in the appropriate boxes to the right of each sub-item. The marks in the sub-item boxes are guidelines only. This work sheet is retained by the reporting command for the performance appraisal discussion. It is not forwarded with the OCR Sheet. After reviewing the sub items and indicating strengths and areas requiring greater emphasis, select percentile score from the scale below and place the appropriate transcription code letter in the OCR code letter box to the right of each item for transfer to the OCR Sheet, items 52 to 61.

TRANSCRIPTION CODE	(N)	(A)	(B)	(C)	(D)	(E)	(F)	(G)	(H)	(I)
		TOP				TYPICALLY EFFECTIVE OFFICER		BOTTOM		
PERCENTILE	NOT OBS	1%	5%	10%	30%	50%	50%	30%	MARG	UNSAT*

	Not Applicable	A Strength	Needs Greater Emphasis	OCR CODE LETTER
52. Goal Setting and Achievement				
a Defines goals	☐	☐	☐	
b Develops plans and priorities	☐	☐	☐	
c. Involves subordinates in planning	☐	☐	☐	☐
d Implements plans effectively	☐	☐	☐	
e. Adjusts to changing circumstances	☐	☐	☐	
f Other _____	☐	☐	☐	
53. Subordinate Development and Management				
a Establishes equitable and consistent policies	☐	☐	☐	
b Considers the ideas and suggestions of subordinates	☐	☐	☐	
c. Is effective in personal supervision	☐	☐	☐	☐
d Places subordinates in challenging situations to develop their abilities	☐	☐	☐	
e Delegates authority commensurate with subordinates' capabilities	☐	☐	☐	
f Other _____	☐	☐	☐	
54. Working Relations				
a. Works for high morale while accomplishing mission	☐	☐	☐	
b. Encourages two-way communication	☐	☐	☐	
c. Encourages subordinates' initiatives in accomplishing tasks	☐	☐	☐	☐
d. Gives personal counseling and timely performance appraisal	☐	☐	☐	
e Other _____	☐	☐	☐	
55. Equipment and Material Management				
a Is familiar with equipment	☐	☐	☐	
b Considers economy in equipment and material management	☐	☐	☐	
c Encourages resourcefulness in material utilization	☐	☐	☐	☐
d Is committed to improvement of working and living environment	☐	☐	☐	
e Supports organized maintenance programs	☐	☐	☐	
f Other _____	☐	☐	☐	
56. Navy Organization Support				
a Exhibits positive attitude toward the Navy	☐	☐	☐	
b Observes two way chain of command	☐	☐	☐	
c. Seeks and accepts responsibility	☐	☐	☐	☐
d Uses authority properly	☐	☐	☐	
e Strives for professional self-improvement	☐	☐	☐	
f Other _____	☐	☐	☐	
57. Response in Stressful Situations				
a Recognizes potential hazards	☐	☐	☐	
b Retains composure and effectiveness	☐	☐	☐	
c Acts decisively	☐	☐	☐	☐
d Sees situation through to completion	☐	☐	☐	
e Other _____	☐	☐	☐	
58. Race and Intercultural Relations				
a Takes effective action to increase his own and his subordinates' racial awareness	☐	☐	☐	
b Initiates and supports the Navy's equal opportunity goals, programs and directives	☐	☐	☐	
c Considers minority groups in planning and implementation of personnel actions	☐	☐	☐	☐
d Takes action to improve relations with host nationals overseas	☐	☐	☐	
e Interacts positively with people of other cultures	☐	☐	☐	
f Other _____	☐	☐	☐	
59. Personal Behavior				
a Sets worthy personal example	☐	☐	☐	
b Exercises discretion in public behavior	☐	☐	☐	
c Maintains military bearing and appearance	☐	☐	☐	☐
d Works harmoniously with peers	☐	☐	☐	
e Promotes favorable Navy image	☐	☐	☐	
f Other _____	☐	☐	☐	

60. Speaking Ability
Ability to express himself orally in an effective manner ☐ OCR CODE LETTER

61. Writing Ability
Ability to express himself in writing in an effective manner ☐ OCR CODE LETTER

TREND OF PERFORMANCE. Indicate trend of officer's performance since your last report
62 ☐ FIRST REPORT
63 ☐ CONSISTENT
64 ☐ IMPROVING
65 ☐ DECLINING*

FURTHER EDUCATION Based on your observation of this officer's educational interest and aptitude, indicate your recommendation for the officer's education. Check as appropriate and provide supporting comments in item 83.
66. ☐ GRAD SCHOOL 67 ☐ SERVICE COLLEGE 68. ☐ OTHER 69. ☐ N/A

70./71 **STATEMENT.** The officer shall indicate if he does not desire to make a statement or a statement is attached

72. **SIGNATURE OF OFFICER EVALUATED** In the interest of maintaining effective communications with subordinates, reporting seniors are required to conduct an informal performance appraisal discussion using this work sheet as a guideline. The evaluated officer's signature is required on the OCR Sheet

73. **DATE FORWARDED** Date reporting senior signed and forwarded report

74. **SIGNATURE OF REPORTING SENIOR.**

75. **DATE FORWARDED.** Date regular reporting senior signed and forwarded concurrent or special report

76. **SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT AND CONCURRENT/SPECIAL REPORT.**

DESIRABILITY. Indicate your attitude toward having this officer under your command in the following categories of assignment.

	NOT OBSERVED	PARTICULARLY DESIRE	PREFER	PLEASED	SATISFIED	PREFER NOT*
77. COMMAND	☐	☐	☐	☐	☐	☐
78. OPERATIONAL	☐	☐	☐	☐	☐	☐
79. STAFF	☐	☐	☐	☐	☐	☐
80. JOINT/OSD	☐	☐	☐	☐	☐	☐
81. FOREIGN SHORE	☐	☐	☐	☐	☐	☐
82. SUBSPECIALTY	☐	☐	☐	☐	☐	☐

83. **COMMENTS.** Length of comments must not exceed space provided. Include comments pertaining to unique skills and distinctions that may be important to career development and future assignment. A mark in boxes with an asterisk (*) indicates adversity and supporting comments are required

Figure III-5

REPORT ON THE FITNESS OF OFFICERS

OCR SHEET/RECORD COPY

1. NAME (Last, First, Middle)	2. GRADE	3. DESIG	4. SSN

5. SUBSPECIALTY CODE	6. UNIT ID CODE	7. SHIP OR STATION	8 DATE REPORTED

OCCASION FOR REPORT			PERIOD OF REPORT	
9. ☐ PERIODIC	10. ☐ DETACHMENT OF REPORTING SENIOR	11. ☐ DETACHMENT OF OFFICER	12. FROM:	13. TO:

TYPE OF REPORT			BASIS FOR OBSERVATION		
14. ☐ REGULAR	15. ☐ CON-CURRENT	16. ☐ SPECIAL	17. ☐ CLOSE	18. ☐ FREQUENT	19. ☐ INFREQUENT

20. EMPLOYMENT OF COMMAND	21. DAYS OF COMBAT

22. REPORTING SENIOR	23. TITLE	24. GRADE	25. DESIG	26. SSN

27. DUTIES ASSIGNED

MISSION CONTRIBUTION (Indicate evaluation by "x" in appropriate box.)	TOP				TYPICALLY EFFECTIVE OFFICER			BOTTOM		
	NOT OBS	1%	5%	10%	30%	50%	50%	30%	Marg	Unsat*
28. EVALUATION										
29. SUMMARY DISTRIBUTION										

RECOMMENDATION FOR PROMOTION (Indicate recommendation by "x" in appropriate box.)	30. ☐ EARLY PROMOTION	31. ☐ REGULAR PROMOTION	32. ☐ NO PROMOTION*
RANKING FOR EARLY PROMOTION	33. ☐ NUMBER RECOMMENDED	34. ☐ RANKING	

DEMONSTRATED SKILLS. (Type in OCR code letter from work sheet.)	35. ☐ SEAMANSHIP/ SHIPHANDLING	36. ☐ AIRMANSHIP	37. ☐ WATCH STANDING

SUBSPECIALTY. (Type in OCR code letter from work sheet in items 44 and 51.)

SUBSPECIALTY NAME	SUBSPECIALTY REQUIRED BY BILLET		SUBSPECIALTY UTILIZATION			SUBSPECIALTY PERFORMANCE
38. _____	39. ☐ YES	40. ☐ NO	41. ☐ FRE-QUENT	42. ☐ INFRE-QUENT	43. ☐ NONE	44. ☐
45. _____	46. ☐ YES	47. ☐ NO	48. ☐ FRE-QUENT	49. ☐ INFRE-QUENT	50. ☐ NONE	51. ☐

SPECIFIC ASPECTS OF PERFORMANCE. (Type in OCR code letter from work sheet.)

52. ☐ GOAL SETTING AND ACHIEVEMENT	53. ☐ EQUIPMENT & MATERIAL MANAGEMENT	54. ☐ RACE AND INTERCULTURAL RELATIONS	55. ☐ WRITING ABILITY
56. ☐ SUBORDINATE MANAGEMENT & DEVELOPMENT	57. ☐ NAVY ORGANIZATION SUPPORT	58. ☐ PERSONAL BEHAVIOR	
59. ☐ WORKING RELATIONS	60. ☐ RESPONSE IN STRESSFUL SITUATIONS	61. ☐ SPEAKING ABILITY	

TREND OF PERFORMANCE	62. ☐ FIRST REPORT	63. ☐ CONSISTENT	64. ☐ IMPROVING	65. ☐ DECLINING*
FURTHER EDUCATION	66. ☐ GRAD. SCHOOL	67. ☐ SERVICE COLLEGE	68. ☐ OTHER	69. ☐ N/A

*A mark in this box indicates adversity and supporting comments are required. Enter comments in section 83 on the record copies only. The officer receiving adverse marks must be informed of such and be given the opportunity to make a statement.

"I acknowledge that I have been apprised of my performance and I have seen the Appraisal Work Sheet."	STATEMENT 70. ☐ NOT DESIRED	71. ☐ ATTACHED
72. SIGNATURE OF OFFICER EVALUATED:		

73. DATE FORWARDED	74. SIGNATURE OF REPORTING SENIOR
75. DATE FORWARDED	76. SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT AND CONCURRENT/SPECIAL REPORT

Figure III-5 (Cont'd)

20. EMPLOYMENT OF COMMAND (Continued)

27. DUTIES ASSIGNED (Continued)

DESIRABILITY. Indicate your attitude toward having this officer under your command in the following categories of assignment:

	NOT OBSERVED	PARTICULARLY DESIRE	PREFER	PLEASED	SATISFIED	PREFER NOT*
77. COMMAND	☐	☐	☐	☐	☐	☐
78. OPERATIONAL	☐	☐	☐	☐	☐	☐
79. STAFF	☐	☐	☐	☐	☐	☐
80. JOINT/OSD	☐	☐	☐	☐	☐	☐
81. FOREIGN SHORE	☐	☐	☐	☐	☐	☐
82. SUBSPECIALTY	☐	☐	☐	☐	☐	☐

83. COMMENTS. Length of comments must not exceed space provided. Include comments pertaining to unique skills and distinction that may be important to career development and future assignment. A mark in boxes with an asterisk (*) indicates adversity and supporting comments are required.

Military science has advanced light years beyond General Cass's day. Yet the truth is that the fitness report of today's Navy has improved little since the General's time. True, the language has become more sophisticated, techniques are improved, the forms better designed, and the paper and printing of higher quality, but the medium remains the same: the evaluation of one officer by another. Likewise, the same problems remain: the standards, biases, perceptions, misconceptions, inaccuracies, and inabilities of the evaluator to produce a "realistic, objective evaluation." These prejudices and partialities, coupled with the continued reactive nature of the fitness report, produced a system where the results can be questioned.

IV. PROBLEMS WITH THE PRESENT SYSTEM

The majority of the users of the fitness report, as detailed in Chapter II, seem to agree that the performance evaluation system works. Similarly, a sampling of Naval War College students and faculty also feel that the evaluation system does its job well [Spofford, 1975]. However, in both of these two latter groups, the sample was not representative of the Navy. The sample seems biased to the extent that these officers have succeeded within the system. Therefore, it is not surprising that they would state that they have confidence in the rating procedure and subsequent uses of that information. A survey of officers who have not been promoted, who have not been selected by screening boards, or who have not been assigned to the "good jobs" might well result in findings quite contrary to those already reported.

Annually, approximately 150,000 fitness reports are forwarded to the Bureau by some 2500 reporting seniors. The fact that approximately 10% of those reports are returned for clerical errors may be indicative that the entire system is not well understood by the reporting seniors, not to mention the subordinates. Although it is relatively easy

to correct and control the administrative, clerical composition of fitness reports, the regulating of the accuracy and thoroughness of the performance marks and narrative is not. One apparent factor causing this dilemma is that there are no universal standards with which to measure officers. Officers are marked by a "comparison ... with other officers of the same grade, competitive category, and approximate time in grade ..." the reporting senior has known. These performance standards are to be uniformly applied throughout the individual command under the control of one officer, but the projection of these norms fleet-wide is at present seen as not possible. Currently, the stance of the Chief of Naval Personnel is that publication of fleet marks will only result in additional performance mark inflation [Farley, 1976]. He feels that if a reporting senior is rating high, he will continue to do so. However, the reporting senior who is rating low will raise his marks, resulting in higher fleet-wide norms. This reluctance is supported to some extent by recent U.S. Army experience. As a result, a reporting officer may be marking significantly higher or lower than the fleet norm, but at present, he has no way of knowing that.

To be effective, in my opinion, any performance evaluation system must start by looking at its objectives, and then

ensure that those objectives are met. The Navy's fitness report is designed to serve as a management tool in administering the officer corps. As such, it is designed to record past performance and professional qualifications attained to be used to predict future performance. As we presently have no alternate means available (other than the fitness report) to measure the accomplishment of these objectives, the reliability of the entire system is unknown.

"Impersonally prepared fitness reports containing clear and concise statements of fact best serve all interests /BUPERSINST 1611.12D/." Fitness reports should be positively performance oriented and record what an officer has accomplished during the reporting period. However, there is a tendency for promotion and selection boards to use the fitness report as a culling tool rather than a selection instrument. Rather than looking for reasons why an officer should be selected, boards seem to look for grounds not to select him. Boards have on occasion gone back to a specific mark on a LTJG report in considering a Captain for Flag rank as reasoning on why not to promote him.

A. EDUCATION OF HOW TO EVALUATE LACKING

In considering the critical nature and the far-ranging impact and importance of the fitness report, it was surprising

to learn that there is very little formal education in the Navy's performance appraisal system. With the exception of BUPERSINST 1611.12D and Navy Regulations which promulgate the basic requirements for and general regulations governing the submission of fitness reports, there are no Navy-wide courses of instruction or training programs on how to evaluate officer performance. Given that this is "one of the most important and responsible duties [U.S. Navy Regulations, Article 1152]" of a reporting senior and his not objectively doing so "is a grave failure to meet a public trust [U.S. Navy, 1975, p. 34-10]," one would think that the Navy would interpret this skill as it does all other professional capabilities and provide for the acquisition of this expertise by all officers.

However, such is not the case. The only formal course of instruction available is at the PCO/PXO courses at the Surface Warfare Officers School Command, Newport, Rhode Island. The classroom time amounts to only eight hours and the material covered is basically a detailed explanation of BUPERSINST 1611.12D, but at least it provides a forum to discuss the system and have vague areas or questionable points cleared up. The most valuable portion of the instruction is provided by a representative division of Pers-4 of the Bureau of Naval Personnel who provides the classes with

the philosophy of fitness reports, implications of grading, and promotion and selection board procedures and criteria. He "tells it like it is," as compared to the way BUPERSINST 1611.12D says it should be. The PCOs and PXOs are provided with current fleet marking trends, including how to grade an officer you want promoted and how to grade one you do not desire selected.

Although results are discussed, procedures and techniques of doing so are not. Important issues such as objective vs. subjective ratings, management-by-objectives and critical incident methods, and skills and techniques to be used in counseling officers about their performance are missing.

For some undeterminable reason, there is a cloud of secrecy surrounding the fitness report system [Spofford, 1975]. An educational process aimed at dispelling that cloud for the entire officer corps, raters and ratees alike, is essential to build officers' trust and confidence in the system. The system must be structured so that officers can equate daily performance to evaluated performance as depicted on the fitness report.

As a result of the field test conducted to evaluate the revised form (Chapter III) and observations made during the course of the study, Center for Naval Analysis Study 1022 made some specific recommendations about educating the

reporting seniors. The study found that many of the problems were a result of reporting seniors attitudes and beliefs rather than the form itself and suggested that they needed a better understanding of both the reporting system and how to write proper reports. This could be accomplished by writing a booklet explaining the fitness report system and how to evaluate performance and write reports, with Navy-wide distribution.

The study further urged that current marking distributions be provided to reporting seniors and advised on how to prepare the comments section of the evaluation. This is presently being accomplished at the PCO/PXO course. The key is educating the reporting senior prior to his writing fitness reports, so that an officer is not inadvertently hurt by a reporting senior who is just learning to write officer evaluations.

It should be noted that with the one exception mentioned above, none of the recommendations concerning educating the reporting senior were implemented by the Navy.

B. INFLATION

The inflation of performance marks is a well-known phenomenon throughout the fleet officer corps. A conservative estimate is that 90% of the officer corps is rated in

the top 10%. The problem is at a point where a Congressional inquiry was directed to the Navy Department to explain how this was possible. However, despite this grade distention and lack of any spread or distribution of marks, users of the fitness reports continue to say that they can still determine who the front runners are.

The exact level of grades and degree of inflation are closely kept secrets at the Bureau of Naval Personnel. The concern is that if it was known, the inflation would spiral as high graders would continue to grade high and low graders would raise their marks. Generally, the more senior the officer, the higher the marks. This "grade creep" was also discovered in the Center for Naval Analysis Study 1022. However, the Center's findings that officers filling sea billets received higher marks than the shore duty officers is not confirmed in actual fleet marking trends.

As the inflationary trend continues, the "grades" in the performance areas have lost much of their utility as discriminators for promotion or job selection. Fitness reports that do not distinguish in the quality of officers are meaningless. That inflation is so rampant is likely indicative of a lack of confidence throughout the officer ranks that the report will not be uniformly applied throughout the Navy [Rossi, 1974]. As now designed, the fitness

report provides a comparative value of the individual officer's performance. It seems to function adequately in identifying the ineffective officers, but its ability to discern the "front runners" is questionable.

C. OVERWORKED

From Chapter II, it is not too difficult to hypothesize that the fitness report is stretched too thin and is used for too many purposes. To combine the requirements of the promotion, selection, and assignment systems into a single form, to be used across all officer ranks and across all specialty and subspecialty branches, is asking a great deal, probably too much.

D. BIASES

Because of the myriad of screening and selection boards that an officer has to successfully pass prior to becoming a reporting senior, it must be assumed that he is professionally and technically competent, and that he is well motivated to appropriately appraise his junior officers. What then are the causes of errors committed in preparing fitness reports which impact on their validity and reliability?

Bias occurs when the reporting senior submits an unfairly high or low fitness report, based on prejudice, emotion, or subjective opinion. Bias is conscious when the appraiser is

aware of what he is doing; it is unconscious when he is unaware that his personal opinions have interfered with his objectivity. Most bias is unconscious.

The conditions working against objectivity are formidable. Reporting seniors are human beings and have strong likes and dislikes concerning their officers. Emotional factors influence evaluations. Reporting seniors may rate highest those officers who are most like themselves and lowest those who are different. However, it could be just the opposite as a study of Air Force officers revealed [Quinn, p. 41]. Junior officers who were similar to their reporting seniors in academic backgrounds, duty specialties, average score of previous ratings, and source of commission were rated significantly lower than those officers who differed from their reporting seniors. Additionally, reporting seniors who were rated as being superior tended to rate their juniors more favorably than those rated not as high.

Some of the most common sources of bias are:

1. Halo Effect

This exists when an officer has one or two outstandingly good (or bad) characteristics that color the reporting senior's judgments of the overall performance. Good work (or bad) is remembered and the reporting senior assumes that current work is the same. Another type of

halo effect occurs when the senior's judgment is influenced by the work team with which the officer associates. If the work team is not well liked, this attitude may unduly bias the evaluations of the individual officer.

2. Recency

The recency of good or bad performance near the end of the reporting period can influence the appraiser's judgment, cancelling out a previously established good or bad record.

3. Leniency or Severity

Some reporting seniors habitually mark all of their officers high ("easy grader"), while others tend to mark everyone low ("hard grader"). Lenience may occur because the senior wants to avoid conflicts or thinks that he may motivate an officer or earn his loyalty by giving him high performance marks. Reporting seniors may find it difficult to admit that their officers are not performing at the level they should be, since subordinate performance can be interpreted as a reflection of the senior's leadership and managerial ability.

4. Central Tendency

This bias is committed when a reporting senior lumps all of his officers around the average, thus failing to discriminate between the effective and ineffective officers.

This usually occurs as a result of the reporting senior's lack of knowledge of the officers he's rating, or from haste, indifference, or carelessness [McFarland, p. 329]. It may also occur when a reporting senior follows the Bureau's fitness report instruction to the letter, disregarding current fleet marking trends. A reporting senior who truly believes that the officer he is rating is a "typically effective officer," equal in ability to the majority of his contemporaries, and accordingly rates him in the "50% (upper)" category, has probably just limited that officer's career since "typically effective officers" are being rated as "top 10%."

5. Service Warfare Specialty

Another potential bias unique to the military is that of service warfare specialty partiality. A reporting senior's pride in his respective warfare specialty area (aviation, special, subsurface, or surface) may encourage him to rate his officers superior to those of the other "unions" to attempt to ensure promotion, selection, and assignment opportunities for them and to make his specialty "look good." However, the existence or absence of this bias is an unanswered question because of the lack of data from the Bureau.

An even more interesting bias may exist when a reporting senior from one of the "unions" evaluates an officer from another specialty. Once again, regretably, the lack of available data prevents a conclusive answer to this potential bias.

V. METHODS OF IMPROVING THE PRESENT SYSTEM

Chapter IV pointed out numerous shortcomings of the present fitness report system. This chapter provides proposed solutions to those problems that can be solved working within the framework of the current implementing directives and existing report format. Chapter VI contains recommended solutions to problems requiring changes in the present reporting guidelines or necessitating a revised format.

A. EDUCATIONAL EFFORT

As previously noted, the Center for Naval Analyses Study 1022 reported that many fitness report problems are a result of reporting seniors' attitudes and beliefs rather than the report format itself. Many reporting seniors have had no formalized training in preparing performance evaluations and rely on experiences with their reporting seniors for background information on how to evaluate a junior's performance. Raters need to know the objectives of the fitness report system and the techniques available to them to accomplish those objectives, and finally, the opportunity to practice and train with those skills and techniques in situations in which results have no effect on the officers being rated. Reporting seniors need to be provided with definitions of

the qualities to be rated and standards or yardsticks to be applied for each quality. Answers are needed for such questions as: What is meant by such qualities as imagination and forcefulness? What qualities does the "typically effective officer" possess in these performance elements?

The values of training raters have often been demonstrated. In one of the most carefully conducted experiments, Stockford and Bissell report that training resulted in measurable improvement in the reliability of ratings [Stockford and Bissell, p. 110]. They also found that training reduced bias among raters.

1. Official vs. Unofficial Techniques

Other than BUPERSINST 1611.12D and articles appearing in the Chief of Naval Personnel Newsletter, there is very little official guidance provided in the technique of appraising an officer's performance. However, every reporting senior has his own theory on how it should be done. He may have to draw upon how he has been evaluated and solicit guidance from more experienced seniors, but this still may result in less than optimal performance evaluations.

What is required is a booklet explaining the fitness report system, its uses, how reports should be prepared, what behaviors and traits should and should not be recorded, what the shortcomings and strengths of the system are, and current

marking trends to dispel persistent rumors and provide reporting seniors with a reference point. This publication could be made available to all reporting seniors prior to their assuming command and be updated and revised as required.

In his recently published book On Watch, Admiral Elmo R. Zumwalt, Jr., former Chief of Naval Operations, relates the instance where an officer's civilian reporting senior wasn't familiar with "the code in which fitness reports are written." As a result, the officer was described as an "'excellent officer,' meaning that he was an excellent officer. However, to convey the idea that an officer is excellent in fitness report dialect you must say he is 'outstanding.' To say he is 'excellent' merely means he is adequate. In short, 'excellent' is the kind of word that makes a selection board think, 'oh-oh. That guy must have fouled up somewhere. We can't select him.'" It is this "unofficial, underground" system that this thesis is directed at correcting.

2. Rater and Ratee

An education process is essential for both the rater and ratee. For any performance evaluation system to function effectively, it must be accepted by those that are affected by it. Before the system can be accepted, it must be understood.

For the junior officer, one positive step toward providing an understanding of the fitness report system is NAVPERS 15197, Unrestricted Line Officer Career Planning Guidebook. That publication is available to all officers, although most sections are applicable only to unrestricted line officers. Chapter II of that booklet provides data on a career development plan and the role that the fitness report plays in that process.

The ideal location to start the initial training in performance appraisals is at the commissioning source. Existing Navy policies and procedures could be presented, with a review of the current literature for techniques to evaluate performance. This background will provide the officer with information necessary for him to understand the system and have confidence in its results.

3. Correspondence Course Development

It is recommended that a correspondence course be developed to instruct officers in the techniques available to evaluate personnel performance. The completion of this course would be a prerequisite for Command Screening Boards. Although specifically designed for the officer fitness report, the course would be applicable to enlisted evaluations as well.

B. INCREASE OBJECTIVITY

For a fitness report to be valid and reliable, it must be based on objective data. Evaluations based on observable or measurable behaviors will minimize the biases delineated in Chapter IV, and provide the information required by fitness report users in the most effective means possible. This chapter contains techniques and procedures for collecting the required objective data.

1. Critical Incident Technique

Section 6-2 of BUPERSINST 1611.12D addresses the reporting senior's dilemma of preparing a fitness report on a junior officer and recommends steps that the senior officer could take to accomplish that task. One suggestion is that as soon as the reporting senior assumes command or the subordinate officer reports for duty, the senior start a file for each officer in which are kept copies of letters or messages reflecting the officer's performance of duty or qualifications attained. In addition, any notes or remarks made by, or to, the reporting senior concerning the junior's achievements or execution of responsibilities are maintained in the file for reference prior to preparing a fitness report. This process is essentially the critical incident technique. A more detailed examination of this method follows.

a. Background

On what behavior does the reporting senior base his evaluation? How does he decide how much familiarity the officer has with equipment capabilities? How can the reporting senior be required to think, with respect to the 52 rating areas on the Appraisal Work Sheet, about the evidence on which he should base his evaluation? One method would be for the reporting senior to substantiate or buttress his appraisal by reference to a specific situation in which the officer played an important role. Thus, the senior may justify a high rating on Equipment and Material Management by citing an incident in which the officer displayed exceptional knowledge of the operating characteristics of a piece of equipment. Or he may recall his experience with the officer when a machine broke down or an accident resulted in injury to a shipmate that was the junior's responsibility.

The need for basing performance evaluations on objective data (facts) is fundamental to ensuring that the appraisal system is valid and reliable, as well as eliminating the biases delineated in Chapter IV. The critical incident technique is a program for getting and using the facts of job performance. It encourages reporting seniors to observe how well officers do their jobs and to record their observations objectively as critical incidents - actions by the

officer that result in success or failure on a particular part of his job. With the facts at hand about what an officer did or did not do, the reporting senior can make accurate judgments of his performance.

To understand what sorts of activities or behaviors reporting seniors should look for and record, it is necessary first to answer the question, "Exactly what is a critical incident?"

> A critical incident is an item of performance, an occurrence with clear-cut facts attached to it, something about which there can be no dispute. It is also something the employee (officer) does or fails to do that results in failure or success on a particular part of his job [Flanagan and Miller, p. 6].

For example, the Communications Officer is told to destroy a message file by a certain time. A few days after that specified time the file is found on his desk. This is a critical incident. It is a failure on a particular part of his job. That he is "careless" is not a critical incident - that is the reporting senior's subjective opinion. The incident is a fact; the designation of "carelessness" is an opinion until substantiated by facts - the recording of critical incidents.

To be critical, an incident must not only be some action the reporting senior observes. It must be action that clearly shows either outstanding or less-than-satisfactory

performance. An incident is critical only when it meets one or more of the following criteria [Flanagan, 1956, p. 6]:

(1) Makes a difference on command operations or morale. For example, failure to see an obvious defect in equipment or volunteers to perform an unpleasant duty.

(2) Shows something to be considered, along with other facts, in making billet or collateral duty assignments, personnel actions, or writing a fitness report. For example, completing a job on time despite obstacles.

(3) Produces a situation that would ordinarily be discussed with the officer. For example, losing a classified publication.

b. Procedures

The procedures to be used in setting up an officer evaluation system will depend on specific factors at the local command. The number of officers in the command and association with the reporting senior are examples. Another is the personal qualities and background of the senior. However, there are certain general principles that are of fundamental importance in establishing these procedures and will be discussed briefly [Flanagan, 1952, p. 378-384].

(1) <u>The Job Must be Adequately Defined</u>. Reporting seniors cannot give accurate fitness reports unless

they know precisely what they are supposed to report on. The definition of the job should be comprehensive. Success has been obtained in defining jobs in terms of their crici-cal requirements as established by means of the critical incident technique. The reporting senior recording the incident must know the aims or objectives of the officer's department or division. Unless it is quite clear to him just what the officer is trying to do, the reporting senior cannot judge whether or not the officer is successfully doing it. Moreover, the senior must be provided with a clear criterion of whether or not an incident is critical.

The incidents must be collected in such a way that reporting is accurate. Ideally, daily entries into the officer's file would be optimal. Anything less frequent may result in inaccuracies or vagueness, thus losing the objective, factual nature of the technique.

Data collected must finally be analyzed, organized, and summarized to be effectively used in the preparation of a fitness report.

(2) Reports Must be Based on Observations of Performance. The second basic requirement of an effective procedure is that the fitness reports must be based on actual observations of work performance. Vague notions or general impressions (subjective data) are not enough.

(3) The Performance Observed Must be Evaluated, Classified, and Recorded. Not only must observations of the important characteristics of the officer be made, but the performance observed must be evaluated, classified, and recorded if the observations are to be of real value. Memory is uncertain at best, but with the many demands made on the reporting senior, it is difficult for him to retain the facts of a particular situation in such detail that he will be able at some later date to evaluate and classify these facts and indicate their contribution to the overall evaluation of the officer. My recommendation is that in each officer's performance file, a separate sheet of paper be included for each Specific Aspect of Performance, Warfare Specialty Skills, etc. appearing on the Appraisal Work Sheet. This would provide the reporting senior a record of critical incidents, including the date of occurrence and a short narrative of the facts.

(4) Observations Must be Summarized and Integrated. The final requirement is that the observations must be summarized and integrated. Even detailed observations of the important requirements for the officer's job will not be of great value unless the observations are summarized and integrated so that they will be of value in preparing the fitness report.

c. Uses

The variety of situations in which the collection of critical incidents can be used has only been partially explored [Flanagan, 1954, p. 346]. This thesis deals with just one use (performance evaluation), but the results or data obtained from the technique can be applied to many other personnel management areas. Potential applications are as follows.

(1) Officer Development. Officer development is the responsibility of the Commanding Officer. With the critical incident method, the Commanding Officer has an objective record to discuss with the subordinate officer. Inherent in the system is the idea that the officer knows what is expected of him, and it is the reporting senior's responsibility to clarify the requirements and acceptable standards for the job. The objective record of the officer's performance with respect to his present job and possible future assignments is an invaluable tool in discussing career potential.

(2) Officer Assignment. By evaluating an officer's critical incidents, a Commanding Officer can identify his strengths and weaknesses. He can then assign him accordingly within his command to utilize the strengths to their maximum, while improving the weaknesses.

(3) Officer Morale. It is of great importance to the officer to know where he stands with his senior, and it is therefore very desirable that the objective record of his performance be discussed periodically. If convinced that his evaluation is based on objective rather than subjective data, the officer will be more prone to accept the fitness report in a positive, constructive manner and do his best to improve his performance.

(4) Officer Promotion. One of the most important functions of the fitness report is to identify those officers who should be promoted. Fitness reports based on objective data perform that job best.

(5) Officer Non-Continuation. Just as promotion boards need objective data to base their selections for promotion, they also need factual information to decide which officers should not be promoted.

(6) Officer Performance Research. If objective data are available regarding officer performance, they become an important source of information for use in making comparisons, evaluating specific programs, identifying training requirements, comparing selection and promotion decisions, and for establishing specific billet requirements.

d. Disadvantages

The critical incident technique is not a panacea or a cure-all for fitness reports. It adds to an already monumental paper work burden, and if perceived by the officers as just a "black book" approach to management, the system will fail in obtaining the trust and confidence of the officer corps. Defining the critical factors for a billet is no easier than defining the standards for any other system, as the recency or severity of incidents may influence a reporting senior's opinion. This technique does not automatically eliminate conscious or unconscious biases or halo effects, but requires a sentient effort to avoid these pitfalls.

e. Summary

It should be noted that the critical incident technique is very flexible and the principles underlying it have many applications. Its two basic principles may be summarized as follows: (a) reporting of facts regarding officer performance is preferable to the collection of interpretations, ratings, and opinions based on general impressions; and (b) reporting should be limited to those behaviors which make a significant contribution to the command.

Critical incidents represent only raw data and do not automatically provide a fitness report mark. Data must be summarized and integrated into the system before a grade is assigned.

In summary, the critical incident technique, rather than collecting opinions, hunches, and estimates, obtains a record of specific behaviors, objective, factual data which can be used to develop, assign, promote, or eliminate officers, increase officer morale, and, finally, provide data for research.

2. Management by Objectives (MBO)

> In order to foster a concept of 'management by objectives,' reporting seniors should seek to establish with each and every subordinate mutually understood, finite objectives for which the subordinate will be held accountable. Subsequent fitness reports should then contain comment upon the degree of attainment of each such objective [Section 4-11-d, BUPERSINST 1611.12D].

The above quote is the only reference to an MBO technique for evaluating personal performance in offical Navy publications or directives. Although a "concept of MBO" is recommended, no explanation of the concept is given, nor implementing directions provided. A more detailed examination of this method to obtain objective performance data follows.

a. Background

In 1957 Douglas McGregor wrote a classic article of performance appraisals, wherein he evaluated conventional performance appraisal plans where managers had to "play God" and provided an alternative which placed the responsibility of setting goals and appraising progress toward them on the subordinate [McGregor, p. 133]. The article is as relevant now as it was 30 years ago and should be reviewed by any manager implementing the technique.

Conventional appraisal systems are resisted by the managers who are expected to administer them. This may be due to their lacking interview skills, a dislike for criticising subordinates, mistrust of the validity of the appraisal system, or resistance to a new procedure. These symptoms imply an opposition by managers to "playing God," forcing them to decide the worth of a fellow man, communicating that opinion to the subordinate, and then having to act upon those judgments in administrative actions. The dual role of manager as helpful (achieving both the individual and organization's goals) and as judicial was incompatible to the managers. They could not treat the subordinates as physical objects and forget that they were human beings. When the needs of the organization were in conflict with the managers' convictions about the worth and dignity of

the human personality, the organization's needs were sacrificed. It was in this framework that McGregor suggested the management by objectives concept of performance appraisal orginiated by Peter Drucker.

b. Procedures

MBO is an attempt to improve the mission capabilities of a command by involving all officers in mutually supportive, results oriented objectives which meet the requirements of the command and the desires of the individual officer at the same time. The technique is based on the premise that officers will be more productive if they are seeking to attain measurable goals which they have helped establish, rather than just generating activity or performing assigned tasks. The individual officer will set both professional goals that support his unit's mission and personal goals that will reflect his private or family development. After this list is discussed with and approved by the reporting senior, the objectives are written up stating what is to be accomplished, when it is to be accomplished, and how the accomplishment is to be measured. During the reporting period, the reporting senior will review his junior's progress by checking prearranged milestones. Finally at the end of the reporting period, the results of the officer's

successful accomplishment will be measured against the stated objectives.

A closer look at this procedure and the five steps recommended for its implementation follow [Kindall and Gatza, p. 155-157].

(1) Job Content. The reporting senior and the officer discuss the billet description, collateral duties, and any other responsibilities held by the officer. They must agree on what is involved in each of the major areas of the job. A task analysis for the officer's responsibilities must be performed. A set of priorities must also be established so the junior knows which responsibilities come first. At this time, the senior provides the junior with overall command goals and objectives and where the junior fits in the command structure.

(2) Performance Targets. The officer then draws up a program of performance objects for the rating period that supports the command objectives. The program should include his plans in all areas of responsibilities and be challenging, realistic, and possibly most important, manageable. Among possible goals for an unrestricted line officer serving as Weapons Officer on a destroyer are: 1) obtain a score of 85% on a gunfire exercise, 2) pass an upcoming nuclear inspection, 3) increase departmental reenlistment

rate by 10%, or 4) improve the communications link between himself and his subordinates by shortening response time to request chits, etc.

In addition to these professional goals, the individual officer should set personal objectives for himself. He may set goals such as: 1) qualify as fleet OOD, 2) complete special correspondence courses, 3) finish graduate academic courses, or 4) read specific books. Inclusion of personally oriented targets such as the ones above strengthens the role of the performance appraisal program as a means of developing officers. In some respects there will be a struggle for the officer's time between his professional and personal goals. In that event, the officer's program should ensure a balance between these two areas.

The prospective program should also include objectives at varying degrees of difficulty. Regular or routine objectives keep the division/department/command at a steady state, maintaining the status quo. These are the least difficult goals and are derived from the billet description. Problem solving objectives are the next most difficult set of goals. They deal with corrective actions to restore the division/department/command to normal or to return to the steady state condition. The most difficult

objectives are innovative. They are concerned with instituting changes in the division/department/command to make it better in some specific way. Often these goals are derived from ideas learned outside the command [Beam, p. 29].

(3) Discussion of Plan. The individual officer and his reporting senior meet to discuss his target plan. The superior should adopt the role as consultant or counselor. Hopefully, both will learn more about the problems they face if the senior uses discussion rather than orders as a means of influencing the junior. However, if the reporting senior sees the subordinate's goals as unrealistic, unmanageable, or contrary to command objectives, he should not hesitate to share his feelings with the junior.

This goal-setting step is critical in the entire MBO process. The process of a junior setting his own goals is highly valuable as both a training experience and a source of personal motivation. These advantages may be lost if the superior goes to the extreme of handling the conference in such a way as to make the junior doubt that he has really been granted the freedom to set his own objectives. At the opposite extreme, the senior who says nothing may not ensure direction of the individual efforts to support command goals.

(4) Determining Checkpoints. Both officers decide on selected checkpoints or milestones at which time progress can be measured. One obvious checkpoint is the end of the reporting period, but some objectives may require intermediate control points.

Closely related to the selection of checkpoints is the designation of means of measuring progress. An understanding in advance of what measures are to be used in appraising progress is necessary. Will administrative or disciplinary discharges count against reenlistment? Should the cancellation of a college course for personal reasons negate that objective?

Obviously the means of measurement will not always be perfect. However, it is necessary and valuable to have explicit discussion between the senior and junior of the measurement problems involved in the objectives which they have agreed upon.

At this point the junior officer should write down the objectives, checkpoints, and means of measurement and give one copy to his reporting senior. This can be done either formally or informally, but the less paper work involved the better.

(5) Checking the Results. At the end of the reporting period, the reporting senior meets with the officer

to discuss the results obtained. Contracted goals versus actual accomplishment is measured. It is to be expected that some targets will be surpassed, some never even approached. The officer who sets meager targets and always hits them is certainly of no greater value to the Navy than the officer who sets unreachably high targets, falls short consistently, yet in doing so makes substantial improvements over his past work.

The important thing is the results achieved by the total process of establishing objectives, striving to attain them, and analyzing what intervenes between planned and actual performance. When a judgment must be made, the officer is evaluated on his ability to set targets as well as his ability to attain them. The reporting senior should emphasize success in analyzing results - to build on successful accomplishment. In the case where objectives have not been met, the senior can help the officer with training opportunities, schools, collateral duty assignments, or primary billet assignment within the command.

At this point in the process, the five step cycle starts all over again. New goals are established, checkpoints agreed upon, and measuring means decided.

c. Cautions

MBO must start at the top. The reporting senior must set command goals to support those of his senior. He must also understand and support the process. After a junior has set his goals, he must be given the appropriate measure of freedom and authority to accomplish the objectives on his own. Control over the variables in a situation is also required by the junior. Reporting seniors must genuinely support the program by welcoming openness from juniors. Any lack of sincerity will endanger the success of the program.

Initially the MBO approach will take time to be implemented in a command. This approach involves ways of managing officers that may differ from established norms. A "participative management" approach is required, and it may take a while for all concerned to get used to the idea. A series of meetings should be planned to ensure that the officers are fully introduced to the system, understand its procedures, and have a chance to plan their goals.

This technique of performance appraisal will take time - certainly more time than is required for the traditional fitness report reporting procedures. But this time is well spent! The junior and senior spend their time planning, organizing, directing, controlling, innovating, and motivating. This is the job of a manager!

d. Summary

MBO is a program that reporting seniors should seriously consider implementing to obtain objective, results oriented data on the performance of their officers. The process enables the officer to know ahead of time the basis on which he is to be evaluated. Also, the reporting senior and junior both agree on what the junior's job really is, which often times is quite different from the one described in the command's Organization and RegulationsManual. The nature of the technique strengthens the senior-junior relationship as a result of the interactions required in establishing an officer's program. The reporting senior can spot training requirements if a shortcoming exists across a range of officers. Finally, the MBO approach treats as a total process an officer's ability to see a division/department/command problem, devise ways of attacking that problem, translate those ideas into action, and carry through those actions into results. This technique asks that the reporting senior look at the record of an officer's accomplishments, not his personality or undocumented opinions, in preparing a fitness report.

3. Obtaining Objective Measurement Criteria from Seemingly Subjective Elements

The Appraisal Work Sheet (Figure III-3) is designed to assist the reporting senior in preparing a fitness report

for an officer, facilitating the discussion of that report with the officer, and finally providing a historical data bank of information with which to compare the officer's future performance. To fulfill the role of assisting the reporting senior, the Specific Aspects of Performance described in blocks 29 through 35 are broken down into sub-items "to assist the reporting senior in arriving at a valid, overall grade for each specific aspect of performance." However, considering those sub-items and the nineteen other performance elements, what actions or measures should a reporting senior consider in evaluating an officer in that area? How can he measure those behaviors that distinguish between officers? What critical incidents or objectives should be associated with what performance elements?

This section will examine the seven general rating areas and will attempt to answer the above. Questions are posed, the answers to which should reflect not only the presence or absence of the trait, but also the degree to which an officer possesses it.

a. Specific Aspects of Performance

Blocks 29 through 37 on the work sheet describe both task and people-oriented leadership skills. With the exception of Speaking Ability and Writing Ability (blocks 36 and 37), each element contains sub-items that focus more

on observable behavior than on personal characteristics, an attempt to gather objective data for the overall rating that will be transcribed to the record copy to be sent to the Bureau of Naval Personnel.

(1) Goal Setting and Achievement. This element is designed to measure an officer's ability to anticipate problems and plan for contingencies; employ resources for task accomplishment with economy of effort; establish objectives and develop plans and priorities to achieve those tasks; follow through on goals to completion; and effectively integrate his subordinates in the objective's planning and implementation phases. This performance area can be gauged by looking at the following measures:

(a) Does the officer accomplish assigned tasks? Does he establish priorities and complete the time-critical or most important problems first? Does he utilize available resources in an efficient manner?

(b) Does he call upon the experience and expertise of subordinates in planning objectives? Is he flexible enough to respond to changing situations, modifying his plans to ensure that tasks are successfully completed?

(c) What scores did his department/division receive on battle problems? What is the casualty status of equipment assigned to him and length of "down time"? How

successful was the officer in achieving his mutually agreed upon objectives in the MOB program?

(2) Subordinate Management and Development. This element is intended to measure an officer's ability to manage his subordinate's professional career, ensuring that his rank/rate and rating are used to the fullest extent possible; to avoid playing favorites; to keep promises; to administer policies and controls within his department/division in a fair and consistent manner; to show consideration for subordinates' attitudes and frame of mind; to help subordinates and/or their dependents with problems; to express genuine concern for the safety and well-being of personnel; to recognize and utilize appropriately applied commendation and censure techniques; and to identify individual and team training requirements of subordinates, with a subsequent development of an effective training program. A measure of this performance element may be obtained by investigating the following:

(a) How many requests to transfer out of his department/division have been received? To transfer into his department/division? What per cent of his enlisted men are advanced?

(b) Are junior petty officers utilized as middle managers? Are the processing of report chits, leave

applications, or special requests the same for all his subordinates? When an enlisted man is advanced, are his responsibilities revised to reflect his increased pay grade?

(3) Working Relations. This element is a measure of an officer's capacity to contribute to the morale of both assigned personnel and of the entire command; to supervise subordinates without nit picking; to set attainable goals for subordinates; to reward individuals for jobs well done; to keep superiors, subordinates, and others fully informed; to give timely, objective and accurate performance appraisals; and to forego personal desires by cooperating with others for the benefit of the entire unit. A mark for this element can be arrived at by looking at the following:

(a) Has the officer met and discussed with his subordinates mutually satisfying performance goals? Has he instituted an MBO approach to performance appraisal? What scores did he receive for battle problems?

(b) Do his subordinates want to stay in the officer's department/division? What is their reenlistment rate?

(c) Does the officer volunteer for additional responsibilities? In working with others, must he always have his way or is he amenable to cooperation?

(4) Equipment and Material Management. This element measures the officer's familiarity and expertise with the equipment and material assigned to his department/unit; his knowledge of its capabilities and limitations; his attention and priorities given to maintenance programs; his controls on the budget and fiscal spending; and his safety and environmental concern for his personnel. A measure of this performance element may be obtained by looking at the following:

(a) Are his PMS records up-to-date? Are they routinely maintained or just "gun decked" for inspections? Were there any major equipment casualties that could have been prevented? What is the CASREP (casualty report) status of his equipment? Do any CASREPS extend for three months? Six months? Longer?

(b) What is his safety record? What is the number of man-days lost due to accidents? What changes has he instituted in the working and living environments of his men?

(c) Does he stay within his OPTAR (financial operating target)? Does he plan to spend the budget or just react to crises? Are cost factors considered prior to undertaking a task? Does he impress upon his subordinates the importance of financial considerations?

(5) Navy Organization Support. This element is designed to measure the officer's ability to transmit information accurately and in a timely manner up and down the chain-of-command; volunteer for special assignments and enthusiastically accept additional assignments; accept and show commitment to Navy goals, serve without complaint under arduous conditions; support policies of higher authority; show deference, but not blind adherence to orders from superiors; constructively criticize policy decisions; seek educational and training opportunities to improve his professional capabilities; and conscientiously apply standard guidelines whenever possible to ensure that his actions are in line with his superior's and subordinates' expectations. By looking at the following, this performance area may be gauged:

(a) What is his department/division's retention rate? How many mast cases were held during the reporting period? How often is he late for quarters? How many special requests for time off does he submit? Is his personal appearance exemplary? How many realistic, well-researched suggestions for improvement has he submitted?

(b) How many times has his subordinates "failed to get the word"? Has his senior been embarrassed by lack of information that the officer failed to relay?

What controls has he established to ensure his department/ division is kept informed of important events or information?

(c) Has the officer volunteered for the less-desirable assignments? Does he cheerfully undertake those assigned to him?

(d) How many request masts were submitted by his subordinates to challenge the officer's authority or judgment in a situation?

(e) How many correspondence courses has the officer completed? What were the last five non-professional books he read? Does he attempt to be cross-trained in other professional areas? Is he working toward achieving additional professional qualifications?

(6) Response in Stressful Situations. This element is intended to gauge the officer's ability to recognize and correct potentially dangerous situations; respond quickly and effectively to take charge during emergencies; and retain his composure and remain calm in the face of risks to personal safety. A measure of this element can be obtained by looking at the following:

(a) Looking back to situations involving potential danger or physical harm to men and/or equipment or stress due to changing circumstances, limited resources, or critical nature of the circumstances surrounding the

situation, how did the officer respond? Were his actions decisive? Logical? Correct? Did he lose control of the situation or himself?

(7) Equal Opportunity. This performance element measures the officer's ability to be aware of special needs of minority personnel; educate unit personnel concerning minority personnel matters; investigate grievances objectively and take positive actions to redress substantiated complaints; reduce racial tension among personnel by confronting issues of discrimination realistically and with maturity; and actively support the Navy's Equal Opportunity Program's goals, programs, and directives. This element may be measured by determining the following:

(a) What actions has he taken to increase his own or his subordinates' awareness of racial issues, racial problems, minority history, or of the Navy's programs to correct these dilemmas?

(b) How has the officer processed discrimination complaints? Fast? Objectively?

(8) Ability to Speak in an Effective Manner. This element is designed to evaluate the officer's ability to communicate orally. This can be determined by considering the following:

(a) How many breakdowns of communication have occurred as a result of his oral directives? Can he adjust his style of speaking to accomodate his listener --- would he talk the same or differently to his commanding officer and a young seaman?

(b) By observing his performance as an OOD, a boat officer, or an instructor, how effective was he in communicating his ideas or commands?

(9) Ability to Write in an Effective Manner. This element is designed to measure the officer's ability to express himself in writing. This can be determined by examining the following:

(a) Are his written reports thorough, logically formulated, grammatically correct, and in the correct naval format? Are they neat? Are they effective?

(b) Can the officer vary his style dependent upon who will be receiving and acting upon the correspondence? Are letters or reports going up the chain of command of the same style as those going down?

b. Warfare Specialty Skills

Blocks 38, 39, and 40 of the work sheet deal with the officer's demonstrated proficiency and knowledge in carrying out his warfare specialty.

(1) Seamanship. This element is designed to measure an officer's ability and the degree of proficiency attained in all phases of ship-handling and seamanship. A grade may be obtained by looking at the following:

(a) His knowledge of the ship and its weapons systems, including both their capabilities and limitations. Has he qualified as an OOD underway? Has he conned the ship during refueling or underway replenishment? Is he improving his skills?

(b) Is he learning all aspects of ship-handling and seamanship -- navigation, Rules of the Road, signalling, communications, emergency ship handling, weather, formation steaming, rotating screens, etc.?

(c) Is he familiar with tactical publications, operations orders, ship's organization and regulations manual, and other guidance oriented or informational directives?

(d) During simulated or actual casualties or disasters, how well did the officer conn the ship? How long did it take him to recover the "man overboard"?

(2) Airmanship. This element measures the officer's ability in actual control of his aircraft or as a member of the crew and his leadership and judgments in the tactical/operational employment of the aircraft and its

weapons systems. A measure of this performance element may be obtained by investigating the following:

(a) His knowledge of his plane and its weapons systems, including both their capabilities and limitations. Is he familiar with the tactical employment of the plane? What were his bombing scores? What is his safety record? Has he maintained his qualifications for day/night, inclement weather, and carrier operations?

(b) Is he operationally knowledgeable of and does he adhere to the NATOPS (safety and operating directive) Manual?

(c) Has he qualified as a flight leader or plane commander? What actions has he initiated to obtain those qualifications?

(3) Watch Standing. This element is to be employed only if the officer is assigned to and actually performs specific duties or watches not included in his normally assigned duties, i.e., as an OOD, JOOD, Command Duty Officer, etc. The officer's performance in this area can be determined by looking at the following:

(a) Has the officer anticipated problems and planned for contingencies? Has he organized his watch section accordingly?

(b) During actual or simulated emergencies, how well did he respond? What exercise grade did he receive?

c. Subspecialty Performance

Block 50 on the work sheet is an evaluation of the subspecialty performance of an officer when that officer is assigned a subspecialty code and he is filling a billet that requires such a code.

No guidance is provided in any publication or directive as to what criteria an officer should be measured against in this performance element. To separate an officer's subspecialty performance from the rest of his professional responsibilities is considered very difficult. Additionally, the benefit to the Navy is considered tenuous at best.

Accordingly, this performance element will be recommended for removal in Chapter VI.

d. Evaluation

Block 51 is designed to measure the officer's performance with regard to his contribution to his unit's mission. This is an overall evaluation of the officer's performance during the reporting period. To obtain a grade in this element, the marks assigned in Specific Aspects of Performance, Warfare Specialty Skills and Subspecialty Performance (if included) areas should be reviewed. The criteria for those three areas are applicable in this

overall evaluation. The grade assigned should reflect the officer's overall contribution to the command, keeping in mind his rank, length of time on active duty and commissioned service, the duties assigned, and period of service with the command.

e. Trend of Performance

Blocks 53 through 56 are designed to communicate to the Bureau the officer's trend of performance, where a reporting senior has submitted more than one report on an officer. As a result, reporting seniors are required to compare successive reports to determine if an officer's performance has been consistent, has improved, or has declined from one report to the next.

One objective measure of this trend is looking at the mark assigned in the "overall" Evaluation (block 51) in the succeeding report and compare it to the previous report(s) to see if the mark has improved, stayed the same, or declined.

However, as the Evaluation mark is tempered by the officer's experience, time on-board, length of active duty and commissioned service, and duties assigned, all factors relative to his contemporaries, simply looking at the two successive marks may be misleading. Although an officer may have been rated as "Top 10%" in both reports,

his performance trend may nonetheless be improving. Although his value to the command's mission may have increased, a higher grade may not have been justified because more was expected of the officer during this reporting period. The criteria has changed. As a result what is required is an injection of controlled subjectivity, but based on objective data of the officer's performance to finally determine what the mark should be.

f. Desirability

Theoretically, blocks 57 through 61 are included in the fitness report "in recognition of the fact that the services of an officer are not necessarily desirable in each category of assignment. The reporting senior is asked to indicate the desirability of the officer's services in each of the broad categories (Command, Operational, Staff, Joint/OSD, and Foreign Shore) [Section 5-15, BUPERSINST 1611.12D]." No criteria is provided which the reporting senior can gauge his officers; the mark presented is completely subjective and nothing more than a projection of how well the officer has performed in his present job to another billet that may require an entirely different set of professional and personal skills and techniques. In the case of junior reporting seniors, they may never have filled a billet of some of these types and may not have a firm grasp of the type of

officer and requisite skills for some of the categories of assignments that they are expected to "indicate their attitude toward having this officer under your command" in.

If these five rating elements were considered as a detailing and assignment aid only, the subjective nature of the evaluation might not taint their existence too badly. However, as can be seen from the Officer Summary Record (Figure II-2), the marks assigned in the Desirability section appear just as important as any of the other marks and potentially carry just as much weight with promotion board members.

Accordingly, it is recommended that the Desirability section of the fitness report be eliminated. It could be replaced by an area where a reporting senior specifically recommends future assignments, considering the officer's career and his strengths and weaknesses. Any weaknesses that an officer possesses to such a degree that would prevent him from filling any billet (operational, administrative, or staff) anywhere (sea, shore, CONUS, or foreign), should be specifically mentioned in the narrative of the report, to include steps taken by the individual officer and the command to correct such deficiencies.

g. Recommendation for Promotion

Blocks 62 through 66 are designed to inform the Bureau and users of the fitness report as to the reporting senior's recommendation for promotion for the officer being evaluated. Considering the officer's exhibited performance and potential for growth and increased responsibility, the reporting senior is to recommend that the officer be promoted ahead of his contemporaries (Early Promotion - Block 62), with his contemporaries (Regular Promotion - Block 63), or not be promoted (No Promotion - Block 64). Blocks 65 and 66 are utilized only when an "Early Promotion" is recommended.

This section is similar to the Evaluation section (block 51) in that it is a summation of all the marks already given. The reporting senior should review the preparation of the report to this point, and then considering the officer's contemporaries, make a subjective recommendation; however, based on objective criteria for the various performance elements. The recommendation given should consider the individual officer's past performance, his potential, and the future needs of the Navy.

h. Personal Traits

Blocks 67 through 72 are designed to measure the degree to which an officer exhibits six personal traits

(Judgment, Imagination, Analytical Ability, Personal Behavior, Forcefulness, and Military Bearing). The evaluation of these performance elements is recognized by the Bureau's fitness report instruction as being primarily subjective in nature. Accordingly, the section is placed at the end of the fitness report, after the overall Evaluation and Recommendation for Promotion sections. Initially, the revised fitness report format did not include this section. However, as a result of requests from detailers and placement officers, this section was reinstated and envisioned as primarily "detailing tools," to help in the assignment and placement of officers.

As often happens, the initial intent was lost or forgotten between the planning phase and the eventual utilization period. Just as the Desirability section marks appear on the Officer Summary Record, so, too, do the marks for the Personal Traits section. The amount of consideration and weight given to these marks by a promotion board would no doubt vary, but the fact that they are provided, when designed as "detailing tools," makes their inclusion in the briefing sheet suspect.

This author feels that the six performance elements should be included in the fitness report to be utilized only to assist the detailers and placement officers. Accordingly, it is recommended that their marks not be reflected

on the briefing sheet. It is recognized that the information will still be available to fitness report users, but at least the users will have to struggle to find it. The not-so-easy accessibility may result in the data not being used by other than the detailers and placement officers.

(1) Judgment. This element is designed to measure an officer's ability to develop logical conclusions and to reason soundly. An evaluation of this element may be obtained by looking at the following:

(a) Based on the facts of a situation, did the officer develop correct and logical conclusions? Does he consider all the pertinent data of the situation prior to making his decision? Time allowing, does he seek advice and consultation with others?

(b) Is his reasoning logical? Does his decision follow from his logic? Does he consult pertinent directives before making a decision? Has he defined the problem accurately?

(c) What is the officer's "track record"? Have his decisions held up under the potentially incriminating 20/20 vision of hindsight? In simulations and actual emergencies, how have his decisions fared?

(2) Imagination. This performance element is intended to evaluate an officer's ability to be resourceful,

creative, and plan constructively. This element can be measured by examining the following:

(a) Is the officer capable of mentally going outside the present bounds of thought to employ creativity and initiative in developing solutions? Can he develop new programs or unique solutions to relieve problems? Does he feel constrained by the limits of present policies or programs?

(b) How many novel ideas has he submitted to either solve an existing problem or prevent a future one? How thoroughly has he thought through the suggestion? Are they feasible?

(3) Analytical Ability. This element is designed to measure an officer's ability to logically discriminate between assumption and fact. The element can be evaluated by looking at the following:

(a) Does the officer gather and collate relevant information? Does he coordinate information from other sources? Does he insure that his facts are verified, and that his assumptions are treated as hypotheses and not given the weighting factor of facts?

(b) Using hindsight, how successful were his attempts at discriminating between facts and assumptions? Were his conclusions accurate? Decisions appropriate?

(4) Personal Behavior. This element is intended to evaluate an officer's demeanor, sociability, and public behavior. This can be gauged by investigating the following:

(a) Does the officer project a favorable Navy image? Does he maintain an officer's bearing and appearance, and does he exercise discretion in public behavior? Does he exhibit professionalism in personal and public contacts? Does he accept and carry out reasonable requests from citizen groups?

(b) Does he behave according to social and ethical standards?

(c) Has the officer been convicted by civilian police or detained by the Shore Patrol? Has the command received any letters about the officer's behavior ashore, either good or bad? Is the officer frequently late? Does he take extended lunch hours?

(5) Forcefulness. The element is designed to measure an officer's positive and enthusiastic performance of duty. It can be evaluated by looking at the following:

(a) Does the officer always look at the bright side of a situation, or does he habitually complain? Does he welcome additional responsibilities and challenge?

(b) How often does he come early to work? Stay late? Devote liberty hours to shipboard duties? Does he assist others when possible?

(c) Does he smile and laugh? Can he be counted on to keep the work routine going and leading others by setting an example when tedium and boredom have long ago set in?

(6) Military Bearing. This performance element is intended to measure an officer's smartness of appearance, correctness of uniform, and physical fitness, primarily in a military environment. It can be measured by looking at the following:

(a) Does the officer set an example for others to emulate by maintaining a neat uniform and "squared-away" personal appearance? Is he always in the appropriate uniform? Are his grooming standards within the regulations?

(b) Does he invest an appropriate amount of time in physical training to ensure that he is physically capable of carrying out his assigned duties?

(c) Does he attempt to instill these same positive attitudes in others? What marks does he or his department/division receive in personnel inspections? Is he within existing weight guidelines?

C. COUNSELING

> Reporting seniors will show fitness reports to officers in the grades of warrant officer (W-1), chief warrant officer (CWO-2) and ensign through lieutenant. This will be accompanied by personal counseling and to this end a frank and meaningful discussion and explanation of the report must be conducted with the purpose of the officer achieving full understanding of his/her performance.
>
> In the interest of maintaining effective communications with subordinates, reporting seniors are required to discuss reports with junior officers at the time the reports are shown. Officers of the grade lieutenant commander through captain may be given counseling at their specific request, although reports shall not as a matter of routine be shown to them [Section 5-19, BUPERSINST 1611.12D].

The above guidance is the sum and substance of the direction provided to reporting seniors in Navy directives with regard to counseling subordinates. Just as the selection process erroneously assumes that an officer has the ability and skills needed to evaluate junior officer performance, so too does it wrongly assume that he possesses the competence and techniques required to conduct counseling sessions.

Counseling provides an opportunity for the reporting senior and the officer to understand each other better and to see the problems or obstacles that might be standing in the way of the junior's growth and promotion. It also provides an opportunity for the reporting senior to learn to know and understand the junior better, to see that he is

not really what he might be apt to label him, but rather an individual in the process of growing and developing.

Fitness reports based on undocumented, subjective, opinionated data result in ineffective counseling sessions. However, where objective data has been collected and the fitness report is predicated on that information, mutual benefit can be realized by the individual officer and the Navy by a frank and meaningful counseling session. As reported in the Center for Naval Analyses Study 1022, fitness reports that were shown to officers contained significantly higher marks than those not shown. It is felt that reporting seniors who were required to discuss the report with the junior officer were more likely to inflate marks. However, this author believes that the reluctance to grade realistically was a result of the shortcomings of the fitness report preparation procedures (i.e., subjective data, non-participating policy, and a project vice an ongoing program), and not the interaction itself that caused the concern. Given the proper preparation techniques as explained in this chapter, the inflation tendency and hesitancy to counsel officers could be reduced. MBO's participative nature immensely facilitates the counseling session.

Another area of concern is the requirement to develop counseling skills in officers, to be used not just for

performance appraisal discussions, but for any interpersonal interactions requiring the senior to play the role of a coach or counselor. Counseling is a difficult and demanding task and requires complex skills that can be developed over time. To become proficient, a counselor must have not only an understanding of the essential principles and techniques, but he must also develop skills through practice. Simply reading a book will not provide the full impact required to learn the skills. As with all skills, the art of counseling is something that some men will never learn and others do not need to be taught. But between these extremes are the vast majority of reporting seniors who can be trained to do a better job of counseling their juniors [Hoppock, p. 24 and Burke and Wilcox, p. 304].

What is required is a school that will teach all naval officers the principles and techniques of counseling that will attempt to ensure that reporting seniors are capable of performing in the full range of managerial abilities required of him. This subject could be included in the Leadership and Management Training courses presently in existence.

Consideration should also be given to changing the existing policy that only Lieutenants and below see their reports at the time they are submitted, to include all ranks being given that same opportunity. Regardless of the rank of the

ratee, he can still benefit from the suggestions and guidance of his reporting senior. More than just the opportunity to receive that counseling, it is recommended that it be mandatory on the reporting senior to provide it. The cost of this policy change would be the reporting senior's time, but one of his tasks as a manager is the development of juniors, and time spent in that area would be well invested.

VI. CONSIDERATIONS FOR POSSIBLE FUTURE, EXTERNAL CHANGES

Chapter V proposed solutions to problems existing in the fitness report system that may be implemented without necessitating changes in either the current directives or report format. This chapter provides "food for thought" in that the recommended revisions herein would require approval of higher authority, changes in some philosophical aspects of performance evaluation, and possible altering of the present report form.

A. MULTIPLE FORMS

Presently, the Navy utilizes two fitness report formats - one for Captain and below (Figure III-5) and one for Flag officers (Figure VI-1), regardless of designator. An Unrestricted Line Surface Warfare Ensign (1110 Designator) is evaluated on the same performance traits as a Nurse Corps Captain (2900 Designator). The administrative reasons for doing so are obvious - facilitate the reporting senior's task by only being required to become familiar with one form and one set of instructions, enable fitness report users (promotion and selection boards, detailers, and placement officers) to work with only one form, and to save money

Figure VI-1

REPORT ON THE FITNESS OF
FLAG OFFICERS
NAVPERS 1611/2 (7-69) (Formerly NAVPERS 310A)

LEGIBLE HANDWRITING IS ACCEPTABLE FOR ANY PORTION OF THIS FORM

1. NAME (Last, First, Middle) | 2. GRADE | 3. USN (R) | 4. DESIGNATOR | 5. FILE NUMBER | 5A. SOCIAL SECURITY NO.

6. SHIP OR STATION | 7. DATE REPORTED PRESENT DUTY STATION

8. OCCASION FOR REPORT: ☐ PERIODIC ☐ DETACHMENT OF REPORTING SENIOR ☐ DETACHMENT OF OFFICER | 9. TYPE OF REPORT: ☐ REGULAR ☐ CON-CURRENT ☐ SPECIAL | 10. PERIOD OF REPORT FROM: TO:

11. DUTIES (List principal duties assigned and the number of months during the period for which assigned)

12. EMPLOYMENT OF COMMAND DURING PERIOD OF THIS REPORT

13. REFERENCE HERE AND APPEND ANY COMMENDABLE OR ADVERSE REPORTS ON THIS OFFICER RECEIVED DURING THE PERIOD OF THIS REPORT

14. PROFESSIONAL PERFORMANCE:

15. NAME, GRADE, FILE NUMBER, DESIGNATOR AND OFFICIAL TITLE OF REPORTING SENIOR

FLAG OFFICER FITNESS REPORT RECEIPT

6. SHIP OR STATION | 7. DATE REPORTED PRESENT DUTY STATION

8. OCCASION FOR REPORT: ☐ PERIODIC ☐ DETACHMENT OF REPORTING SENIOR ☐ DETACHMENT OF OFFICER | 9. TYPE OF REPORT: ☐ REGULAR ☐ CON-CURRENT ☐ SPECIAL | 10. PERIOD OF REPORT FROM: TO:

(Enter below: Grade, Name, File No./Designator and Address to which this receipt is to be returned.) | FOR CONCURRENT REPORTS, INDICATE COMMAND SUBMITTED BY:

DATE RECEIVED IN BUPERS →

NAVPERS 1611/2 (7-69) (Formerly NAVPERS 310A) S/N 0106-078-3120

Figure VI-1 (Cont'd)

NAVPERS 1611/2 (7-69) (Formerly NAVPERS 310A)

16 PERSONAL QUALITIES

17 PROMOTION POTENTIAL

18 FUTURE ASSIGNMENT

19. ENTRIES ON THIS REPORT ARE BASED ON (Check appropriate box)

☐ DAILY CONTACT AND CLOSE OBSERVATION ☐ FREQUENT OBSERVATION ☐ INFREQUENT OBSERVATION ☐ RECORDS AND REPORTS ONLY

20. (a) Reports containing adverse matter must be referred for statement pursuant to Art. 1701.8, Navy Regulations and the statement of the officer must be attached to this report

☐ STATEMENT ATTACHED ☐ NOT APPLICABLE

(b) Has officer seen this report? ☐ YES ☐ NO

21 DATE FORWARDED	SIGNATURE OF REPORTING SENIOR
22 CONCURRENT REPORT FORWARDED	SIGNATURE OF REGULAR REPORTING SENIOR

on printing costs. However, these benefits must be weighed against their costs. Are we obtaining full utilization of performance appraisals? Would we improve the results of our promotion, selection, and assignment systems if we used different formats and varied performance traits for officers of differing ranks and, possibly, different corps?

One of Thompson and Dalton's major themes was that organizations should "resist the temptation to devise one grand performance appraisal system to serve all management needs [Thompson and Dalton, p. 157]." They point out that often times managerial decisions and performance appraisal discussions possess conflicting objectives, and that tying the two into a single system may make the system less than useful for any one purpose.

The Navy's needs for uniformity and consistency should not justify a rigid system that imposes possibly impractical demands on the changing human organization. This does not mean that managerial activities and performance appraisals should be planned separately. On the contrary, both must be considered together.

Specifically, it is recommended that fitness reports be divided into four levels -- junior officer (Ensign and Lieutenant-Junior Grade), middle officer (Lieutenant and Lieutenant-Commander), senior officer (Commander and Captain),

and Flag officer (all Admiral ranks). The junior officer's report should be behaviorally oriented, covering specific skills required for effective performance. The middle and senior officer forms would be more general, management, leadership, and command oriented. The Flag officer's form could remain in its present format.

B. FLAG NOTEWORTHY STRENGTHS

Although the Officer Preference and Personal Information Card (Figure II-4), the Officer Data Card (Figure II-5), the Dependency Application/Record of Emergency Data (Figure II-6), and fitness reports provide the Bureau with extensive background and historical information on an officer, there remains the possibility that unique skills or talents or noteworthy strengths of that officer are not recorded and are not available to the Bureau for recall and utilization. Unusual experiences such as evacuation of Vietnamese refugees or their relocation in the United States, encounters involving catastrophies such as plane crashes or ship sinkings, or unique combat experiences such as clearing mines in Haiphong Harbor or the Suez Canal should be recorded on computer retrievable information systems for "short fuse" situations requiring similar skills or qualifications.

It is recommended that such a Management Information System (MIS) be initiated.

C. EXCEPTIONAL REPORTS ONLY

To reduce the administrative workload on both the initiators and users of fitness reports, consideration should be given to preparing reports only when performance is exceptionally good or uncommonly bad. The underlying premise would be that all officers are average. Reports would be submitted much as "Special Reports of Fitness" are prepared under existing instructions.

D. CHANGING APPRAISAL TECHNIQUES

There exist a number of appraisal concepts other than the traditional approach that the Navy uses. This list includes subordinate rating, self-rating, peer rating, and group appraisal. The use of any of these techniques to validate the current fitness report is highly recommended.

1. Subordinate Ratings

Each officer would receive a report submitted by his subordinates showing how they rated him, and for comparison purposes, how officers were rated as a group. The goal of this procedure is the officer's self-development. He is the only person who would see how he was rated. He may try to change or seek help as he sees fit. The identity of the individual raters would be anonymous. Until a new format could be developed for this specific purpose, the existing

fitness report form could be utilized. Civilian utilization of this method disclosed that a fourth of the supervisors showed lasting changes; most indicated that they had tried to change and wanted to continue the plan [Maloney and Henrichs, p. 53].

2. Self-Rating

The critical elements in self-rating are the individual officer's ability and desire to observe and recognize his own weaknesses, and to determine actions leading to improvement. One civilian study found that the desire existed, but this finding has not been widely supported [Hall, p. 134-136]. However, given the professional nature of the naval officer and the alternative available (the existing system), the desire and motivation to self-evaluate and improve should be of a higher intensity in the officer corps.

A common problem in self-ratings is that individuals are often reluctant to comment on themselves, providing only skimpy data on which they can be judged [Webb, p. 236]. However, this tendency could be reduced by an educational effort aimed at informing officers the reasons why full information is required.

3. Peer Ratings

Peer or "buddy" ratings came out of research in military organizations during World War II. It is based on sociometric concepts by which each officer of a command rates all the other officers. He would rate them on defined traits or characteristics. The ratings could then be scored, which would serve as an index of the officer's status within his command relative to the rated factor. Normally the rater uses one of two methods: either he ranks his peers in relative order or he nominates a specified number whom he considers "high" or "low" on the factor being measured [Hollander, p. 385].

Mape developed a peer rating procedure to be applied as a means of validating and supplementing information contained in the present reporting system [Mape, p. 49]. He references numerous studies that verify the validity and reliability of this technique and recommends adopting peer ratings on a trial basis to evaluate its usefulness and practicality in a military environment [Mape, p. 45].

4. Group Ratings

Group ratings are made by a conference discussion group meeting which the reporting senior would initiate. Forms or scales are not usually employed.

The reporting senior would invite three or four other officers, all of whom know the officer to be appraised or with whom have contact in doing his work. Sometimes the officer being appraised is asked to invite officers to the group appraisal session. Control is maintained by the reporting senior, who serves as chairman. Through discussion, the points on which everyone agrees are noted, and these points constitute the appraisal.

This plan is simple and requires less training than other methods of performance appraisal. However, the skills of group discussion are not always easy to follow, especially when tensions and uncertainties pervade the discussion. It is a time consuming method since it involves multiple raters. It takes some experience on the reporting senior's part to make the discussions effective at moderate costs in time [Rowland, p. 43].

E. OTHER

1. Feedback to Reporting Senior and Evaluated Officers

The present fitness report system does not provide feedback to reporting seniors or evaluated officers. However, on an informal and unofficial basis, Pers-373, the Chief of Naval Personnel fitness report section, will send a form letter (Figure VI-2) to selected evaluated officers

Figure VI-2

DEPARTMENT OF THE NAVY
BUREAU OF NAVAL PERSONNEL
WASHINGTON, D.C. 20370

IN REPLY REFER TO

From: Chief of Naval Personnel
To:

Subj: Performance Record

Ref: (a) U.S. Navy Regulations, Article 1110
(b) U.S. Navy Regulations, Article 1109

Encl: (1) Copy of fitness report for the period

1. In reviewing reports of fitness in the Bureau of Naval Personnel special attention is given to reports which contain marks or comments susceptible to inference of weakness in personality or performance. Such reports are not required by reference (a) to be referred to the officer; however, in the interest of encouraging self-improvement and assuring that officers are aware of observed deficiencies or significant performance trends, copies of such reports are furnished to those officers for information. The Chief of Naval Personnel has determined that in order to finish file this report, you should acknowledge in writing your awareness of these reported deficiencies.

2. It is requested that you acknowledge receipt of enclosure (1) on a copy of this letter, and return the receipted copy to the Chief of Naval Personnel (Pers 373). In the event you desire to submit any comment or explanatory matter concerning this report, submit the original of such comment as an endorsement to this letter, addressed to the Chief of Naval Personnel and forwarded via the reporting senior who submitted the report. Forward a signed copy of your comment, if any is made, direct to the Chief of Naval Personnel with the return receipt for this letter. If any comment is submitted, your attention is directed to reference (b).

3. You will note that the submission of comment is a purely optional action on your part. However, you are required to acknowledge receipt of this correspondence.

Form 3-8
NAVPERS 1611/22 (6-73

advising them that a recently received fitness report contains marks or comments that could be interpreted as signifying weaknesses in personality or performance. The letter continues to advise the officer of administrative avenues open to him to have the report changed. Other than this exception and the one earlier noted concerning the PCO/PXO course at Newport, the officer corps is not aware of marking trends throughout the Navy.

One reason for changing to the present report format was to take advantage of the machine readable, OCR feature of the form and allow for statistical analysis of performance marks. This is presently being done, but the results are closely held within the Bureau. It is recommended that fleet-wide marking distributions, by rank and promotional category, be provided to reporting seniors, along with an analysis of the marks that he has submitted. This will enable the reporting senior to evaluate his marking of subordinates relative to their contemporaries. Abnormally high or low marking trends will be evident to the reporting senior. In addition to the reporting senior getting this feedback, it is recommended that his immediate senior in the chain of command (ISIC) receive it to allow him to monitor the reporting senior's performance in this area. The performance appraisal task of a reporting senior is one

of his most important responsibilities. His fitness report, as completed by his ISIC, should reflect the reporting senior's performance in this area.

Fleet-wide distribution of marks should also be provided to evaluated officers for their rank and promotional competitive category. The individual officer could then review his past fitness reports and determine his relative standing - behind, in the middle, or ahead of the pack.

2. Reinstate Mandatory Early Promotion Endorsement

BUPERSINST 1611.12D no longer requires that "recommended for accelerated promotion" (RAP) fitness reports be endorsed via the ISIC utilizing NAVPERS 1611/5 (Figure VI-3). Now, only in situations where a Captain is reporting on a Captain is that procedure mandatory. The reinstatement of this process for all RAP fitness reports is recommended. Reporting seniors will likely use more discretion in recommending an officer for accelerated promotion, as his ISIC will review these reports and gain an insight into the reporting senior's judgment of performance. Additionally, the RAP report would then carry more weight as it would have been reviewed by a more senior, more experienced officer who has observed the performance of more officers.

Figure VI-3

NAVPERS 1611/5 (Rev. 12-69) ENDORSEMENT ON REPORT ON THE FITNESS OF OFFICERS S/N-0106-078-3151

1. NAME (Last, first, middle)	2. GRADE	3. DESIGNATOR	4. SSAN.	5. FILE NUMBER

6. SHIP OR STATION (at which duty evaluated was performed)	7. TOTAL NUMBER OF MONTHS THIS OFFICER HAS BEEN OBSERVED BY REPORTING SENIOR —

8. OCCASION FOR REPORT	9. TYPE OF REPORT	10. PERIOD OF REPORT
☐ PERIODIC ☐ DETACHMENT OF REPORTING SENIOR ☐ DETACHMENT OF OFFICER	☐ REGULAR ☐ CONCURRENT ☐ SPECIAL	FROM: TO:

17. (a) Forwarded for endorsement and further forwarding to the Chief of Naval Personnel (Pers E23)
(b) (Indicate appropriate forwarding statement(a))
☐ I nominate the above named officer for accelerated promotion ahead of contemporaries and/or
☐ Above named officer is a captain.

12. DATE FORWARDED	SIGNATURE OF REPORTING SENIOR

13. ENDORSEMENT

14. DATE FORWARDED TO BUPERS (via Regular Reporting Senior, if concurrent or special report)	NAME, GRADE, FILE NUMBER, TITLE AND SIGNATURE OF ENDORSING OFFICER
15. DATE NOTED AND FORWARDED TO BUPERS	NAME, GRADE, FILE NUMBER, TITLE AND SIGNATURE OF REGULAR REPORTING SENIOR ON CONCURRENT OR SPECIAL REPORT

16. INSTRUCTIONS:

(a) The Navy recognizes officer performance evaluation as a command prerogative and responsibility. Because of this, we have traditionally placed this responsibility at the command level, only permitting delegation in large staffs and major shore establishments with the prior approval of the Chief of Naval Personnel. The endorsement procedure is not intended to abridge this command prerogative or responsibility in any way. Rather, it is the intent of this procedure to provide report users (selection board members and assignment officers) the broader viewpoint of a more experienced senior.

(b) In recognition of the added administrative effort imposed by this procedure, periodic report terminal dates have been established approximately three (3) months prior to the usual convening dates of selection boards for each grade. Reporting seniors must ensure that reports not requiring endorsement are forwarded to the Chief of Naval Personnel (Pers E23), and those requiring endorsement are forwarded to the endorsing senior, within fifteen (15) days of the terminal date of the report. Endorsing seniors must endorse and forward to the Chief of Naval Personnel (Pers E23) those reports received for endorsement within fifteen (15) days of receipt from the reporting senior.

(c) Endorsements on this form should fall into three general categories:

"Forwarded" - meaning that the report has been examined with all other reports on officers of the same grade submitted by or sighted by the endorsing senior; but that the endorsing senior has little personal knowledge of the officer's performance (same connotation as "Records and Reports only").

"Forwarded concurring" - indicating that the endorsing senior has sufficient personal knowledge to have a broad feel for the officer's performance but detailed observation only under a limited set of conditions (same connotation as "Infrequent Observation").

"Forwarded with comments" - indicating that, while the officer did not report directly to the endorsing senior, he was observed by him under circumstances permitting meaningful evaluation (same connotation as "Frequent Observation").

Endorsing seniors should make every effort to forward each report with some meaningful comment. Endorsements on captains' reports shall contain comment regarding potential for flag selection whenever possible.

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3. Institute Controls of Marking Trends

The Chief of Naval Personnel closely monitors fleet marking trends. However, as previously stated, the information developed from this monitoring is maintained for the most part at the Bureau. Along with the recommendation contained in E-1 above, it is suggested the reporting seniors whose marking trends differ radically from fleet norms be required to respond to the Bureau to justify the reasons why. This response would be sent via his ISIC to insure he was aware of his subordinate's performance.

F. CHANGE PERFORMANCE ELEMENTS ON REVISED FITNESS REPORT FORM

For the reasons set forth in Chapter VI it is recommended that the Subspecialty Performance section (block 50) and Desirability section (blocks 57 through 61) of the fitness report be eliminated.

G. CHANGES TO BE PROMULGATED

As previously mentioned it is the policy of the Chief of Naval Personnel to issue changes to the fitness report system only once a year (1 January) unless a critical situation exists that requires immediate attention [Farley, 1976]. This policy was instituted in order to allow the officer corps to become familiar with the reporting requirements and procedures and to develop system acceptance.

In keeping with that policy of minimizing modifications to the system, two changes have been approved and will be promulgated with the next change to BUPERSINST 1611.12D: eliminating percentile rankings and adding weight standards conformity.

1. Percentile Elimination

Primarily as a result of Congressional inquiries into how 90% of the officer corps could be rated in the "Top 10%," the percentile categories for the Specific Aspects of Performance (blocks 29 through 37), Subspecialty Performance (block 50), the overall Evaluation (block 51), and Personal Traits (blocks 67 through 72) will be removed [Ibid]. The descriptive phrases (Top, Typically Effective Officer, and Bottom) will remain.

This approach at improving the fitness report is purely cosmetic. The users of the report will no doubt continue to interpret evaluations in percentiles, even though they do not appear on the work sheet.

2. Weight Standards Conformity

The Chief of Naval Personnel has recently decided that an increased emphasis will be placed on an officer's physical appearance with regard to conforming to weight standards promulgated by the Bureau of Medicine [Ibid]. It was the Bureau's feeling that the Military Bearing (block 72)

performance element was not adequately reflecting an officer's compliance to weight guidelines.

Accordingly, a change will be forthcoming whereby an officer is objectively evaluated as to whether or not he is within the weight limits, and if he is not, whether or not he has instituted a program to reduce his weight to conform to established standards.

VII. SUMMARY

> There is one element in the profession of arms that transcends all others in importance. This is the human element. No matter what the weapons of the future may be, no matter how they are to be employed in war or international diplomacy, a man will still be the most important factor in naval operations [Wolf, p. 4].

The above quotation of Admiral Arleigh Burke, former Chief of Naval Operations, is an attempt to put into perspective the emphasis being placed on the purchase of expensive, sophisticated weapons systems, with relatively little attention being paid to the process by which naval officers are selected for promotion, which continues to be a critical task, and all too frequently, the weak link in the naval weapons system structure.

However, promotion boards, selection boards, detailers, and placement officers can only work with the information provided to them. The quality of their decisions will reflect the accuracy and thoroughness of the information available to them in fitness reports. Although "perfect" fitness reports will not guarantee faultless results, anything less than optimal performance evaluations will certainly degrade the quality of the decisions accordingly.

Albeit the many users of the fitness report say that the present method of reporting the performance of officers enabled them to adequately do their job, they are quick to add that more accurate, more specific, and more detailed information would help them do their jobs more effectively and with increased efficiency. The purpose of this thesis was not to degrade or criticize the present system, but rather to take the role of a "doubting Thomas" and seek methods of improving the accuracy and thoroughness of fitness reports, to eventually upgrade the results of their utilization. Tools have been provided to reporting seniors on how to evaluate their officers more objectively, more fairly, and how to counsel their subordinates on the results of the evaluation process.

After a review of the current naval philosophy and the importance of fitness reports, the many uses of officer performance evaluations were enumerated, problem areas identified, and recommended solutions provided. Finally, considerations for possible future use were suggested that are beyond the present report format or current implementing directives.

The limitations and constraints inherent in conducting research in the fitness report field has necessitated the author's generalizing statements concerning present fleet

marking trends. Although specific data is available at the Bureau of Naval Personnel on grading tendencies within any rank, any corps, or any warfare specialty, this information is closely held and not made public. This author has recommended that these statistics be published to reporting seniors and subordinates alike to enable them to know where they stand relative to their contemporaries on marking and being marked. This would also assist researchers in future studies.

A. RECOMMENDATIONS

To increase the accuracy and thoroughness of fitness reports and the concomitant improvement in the end product of their utilization, it is recommended that:

1. A booklet be published describing the fitness report system, its uses, its strengths and weaknesses, and current fleet marking trends. This publication could educate reporting seniors and subordinate officers on the evaluation process and procedures, hopefully to gain their acceptance and confidence.

2. Develop a correspondence course on performance evaluation techniques, the successful completion of which would be a prerequisite for consideration by command screening boards.

3. Increase the reliability and validity of fitness reports by encouraging reporting seniors to base their evaluations on objective data by utilizing the critical incident and management-by-objectives techniques, as well as protracting objective information from seemingly subjective data.

4. Introduce counseling skills and techniques into existing Leadership and Management Training schools. Make the attendance of this course mandatory for reporting seniors.

5. Require that all officers be shown their fitness report prior to submission to the Bureau and make it mandatory to have the reporting senior discuss it with him.

6. Design four (junior, middle, senior, and Flag) separate fitness reports to replace the two (WO-1 through Captain and Flag) that are presently in use.

7. Develop a management information system that will ensure that noteworthy strengths of officers are flagged.

8. Consideration be given to providing a second appraisal technique (subordinate, self, peer, or group ratings) to validate the current system.

9. Reinstate the mandatory process of having recommendations for accelerated promotion be forwarded via the ISIC for endorsement.

10. Remove the Subspecialty Performance (block 50) and Desirability (blocks 57 through 61) performance elements from the fitness report.

B. FUTURE STUDIES

Four areas concerning the heretofore secret deliberations of promotion boards should be examined for their impact on the promotion process.

1. The possible influence of the order in which personnel records of candidates are reviewed by promotion boards.

2. The effect of the promotion board briefer of the service record of officers and its influence on voting.

3. A content analysis of the narrative portion of fitness reports on what specific aspects of performance are being reported for officers selected for promotion and not selected.

4. An examination of the effect that value hierarchy disparities exist between the reporting senior and the evaluated officer.

APPENDIX

Notes from the Secretary of the Navy's Letters of Guidance to Promotion Boards from Fiscal Year 73 to Fiscal Year 77

Fiscal Year 73

1. Staff Corps Captain

a. Board should not be constrained by preconceived career patterns.

b. Officer should possess a capacity for growth and give a clear indication he can handle higher levels of responsibility.

c. Equal consideration should be given to past performance and growth potential.

d. Superior leadership.

e. Combat experience is important.

f. Minority officers be given special consideration.

g. Authorize to promote 15% from below the zone.

2. Line Captain (those provided for Staff Corps Captain Boards plus ...)

a. Successful command sea tour with superior performance in responsible assignments ashore.

b. Expertise in a broad range of skills.

c. Experienced and skillful in the many other areas covering a full range of naval endeavor.

Fiscal Year 74

1. Line Commander

a. Superior performance at sea and air billets and qualification for command at sea and ashore.

b. Specialized skills in the unrestricted line warfare areas. Consideration given for Operational Technical Managerial System (OTMS).

c. Superior past performance required, but potential must be given equal consideration.

d. Don't promote because officer's career conforms to a standard model nor should promotion depend on traditional career pattern.

e. Professional capability and future potential.

f. Look for imaginative and dynamic officers, particularly original thinkers.

g. Combat experience is important.

h. Special consideration should be given to former POWs amd minority officers.

i. Authority given to promote 15% from below the zone.

Fiscal Year 75

1. Line Captain

a. Superior performance in sea and air billets and qualification for command at sea and ashore.

b. Specialized skills in the unrestricted line warfare areas. Consideration given for OTMS.

c. Do not select only from the normal career pattern for the unrestricted line officer.

d. Consider officers in naval or defense attache positions, recruiting duty, and the Human Goals areas.

e. Combat, including staff assignments and advisor billets in Vietnam, is important.

f. Special consideration should be given to former POWs and minorities.

g. Past performance is important, but potential must be given equal consideration.

h. Authorized to promote 15% from below the zone.

2. Line Admiral

a. Personal character beyond reproach.

b. Future potential.

c. Accepts as well as initiates change.

d. Actively supports the DOD Human Goals plan.

e. Need a full spectrum of subspecialists, as well as traditional operational commanders.

f. Navy presently deficient in financial management, intelligence, communications, amphibious operations, and patrol squadron air operations.

g. Pay particular consideration to former POWs.

h. Must possess positive, practical, and concerned leadership.

3. Staff Corps Admiral (those listed for Line Admiral above, plus others specific to corp's mission).

a. Medical Corps

(1) Complete understanding and appreciation of medical care provided ashore, afloat, and in combat.

(2) Clinical experience.

(3) Ability to administer health care delivery programs and facilities.

b. Civil Engineering Corps

(1) Technically qualified.

(2) Competent to assume broad managerial responsibilities.

c. Supply Corps

(1) Management expertise in inventory management, finance, fuel, procurement, subsistence, information systems, and transportation.

(2) Financial management and all aspects of weapons systems acquisition.

d. Dental Corps

(1) Dental care at sea, overseas, and within CONUS.

(2) Rapport with academic environment of civilian dental education to facilitate recruiting.

Fiscal Year 76

1. Line Captain

a. Professional competence and inspirational leadership.

b. Broad spectrum of assignments.

c. Finest sense of personal integrity.

d. Demonstrated excellence in performance in command or other positions of exceptional responsiblity.

e. Pay due consideration to former POWs and minorities.

f. Educational tours and other career broadening experiences not required.

g. Potential for future service is paramount selection criteria.

h. Authorized 15% from below the zone.

2. Line Admiral

a. Selection to Flag is not intended solely to reward past performance.

b. Knowledgeable and combat tested.

c. Every unrestricted line officer need not be uniquely qualified for command-at-sea.

d. Need full spectrum of subspecialists as well as warfare specialists.

e. Where officer has served is less significant than the challenge of the job, scope of responsibility, and the quality of his performance in discharging them.

f. Navy presently deficient in weapons systems acquisition, integration of digital combat system, computer systems, patrol squadron operations, and technical and engineering experience.

g. Age is immaterial except with respect to future potential.

Fiscal Year 77

1. Line Captain

a. Demonstrated performance, skill, and potential that would clearly contribute to improving and maintaining the combat readiness of our ships, planes, and men.

b. Sustained superior performance in command-at-sea and other positions of exceptional responsibility and accountability.

c. Fine balance between technical, management, and leadership capabilities.

d. Distinguished themselves in combat.

e. Special consideration for former POWs and minorities.

f. Subspecialties required in addition to sea duty.

g. To nominate an officer for accelerated promotion, he must consistently be a top performer with extraordinary potential. Must have experience in command or other truly demanding assignments.

2. Staff Corps Captain

a. Chaplain

(1) Pastoral concern.

(2) Deal with discrimination, alcohol abuse, and related drug problems.

(3) Show evidence of continuing to learn, including ministry to minority personnel and their dependents.

(4) Emphasis on future leadership potential, so that an individual's previous non-selection for promotion is not in itself inhibitive. Neither is evidence of a past weakness or illness of any sort, if sufficient evidence of recovery is present.

Fiscal Year 77

1. Line Admiral

a. Recognize and evaluate the human cost of every decision and optimzie returns of that cost through motivation.

b. Special consideration for minorities.

c. Command-at-sea and proven warfare specialties. Sub-specialties which support and complement combatant forces.

d. Select not only major sea commands, but commanders of major shore activities and project managers.

e. Navy deficient in amphibious and service force operations, patrol and carrier ASW aviation, computer science, financial management and communications.

f. Minimum four years as a Captain for Flag.

g. Future potential.

2. Staff Corps Admiral

a. Medical Corps

(1) Innovative officers capable of planning and implementing programs in response to changing requirements.

(2) Maintain and further develop medical teaching and training projects which contribute to professionalism and are essential to procurement and retention of career medical officers.

(3) Demonstrated capacity for increased responsibility.

b. Dental Corps

(1) Dynamic, assertive, and innovative leadership and managerial capacity.

c. Supply Corps

(1) Need weapon systems acquisition and financial management.

d. Civil Engineering Corps

(1) Technical skills, but competent and experienced managers.

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